



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of the Senior Vice President
for Academic Affairs and Provost
213 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455

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TO: Chancellors, Deans, Directors, and Department Heads

FROM: Carol Carrier, Associate Vice President for Academic Affairs
Pat Mullen, Director and University Equal Opportunity Officer

SUBJECT: Guidelines for Academic Searches

Academic institutions represent themselves not only as centers of learning, but communities of individuals who, like other communities, must function together to create and nourish the life of the intellect. The existence of a commonly understood and well respected process which facilitates the addition of new members into that community is critical for the continuation of its mission.

As the academic enterprise has grown to global dimensions, it has become necessary to identify and recruit candidates not simply from a network of corresponding departments in a few dozen universities in the United States. Candidates are likely to be found as well in institutes, corporations, agencies and all areas in other academic institutions across the country and outside of it. To support this effort, entrepreneurial skills and sensitivity to the communal aspect of the process need to be appropriately balanced.

As the new approaches which are contained in this document were developed, the effort was made to emphasize that the nature of the search process and an affirmative action process are not only compatible, but should be one process. For academic searches, the direction of that process is primarily delegated to Deans and Directors. Department Heads, however, bear the brunt of the responsibility for the effective management of the searches in their areas. These procedures outline those management responsibilities more specifically than has been the case in the past. This has been done to make the process less cumbersome, but also to clarify the accountability for the steps in the process.

The result we are seeking is the addition of faculty and staff who will be able to fulfill our institutional mission. That means they must be representative of talent that exists in the communities of color, of women, of disabled persons. That means they must be skilled in their discipline or profession. That means they must find us a community in which their particular contribution to research, teaching and service will be valued.

As we implement these changes in January, 1991, we ask for your active role in making them work and in calling to our attention further refinements if you find that necessary.

CAC:ls

Enclosure

GUIDE TO ACADEMIC SEARCHES

JANUARY 1, 1991

**Office of the Senior Vice President
for Academic Affairs and Provost
Leonard Kuhl, Provost**

and

**Office of Equal Opportunity and Affirmative Action
Patricia A. Mullen, Director**

**University of Minnesota
Minneapolis, Minnesota 55455**

OVER

GUIDE TO ACADEMIC SEARCHES

Introduction

This guide and the history of the development of each of its components illustrates the complexities and challenges of continually renewing our effectiveness in a crucial aspect of our institutional life: bringing new members into this community.

The first section, "Framework for Conducting Searches," is the product of two years of consideration by the University governance system and the administration. This policy framework was developed primarily by the Committee on Equal Opportunity for Women and the Senate Committee on Faculty Affairs, and was formally approved by the Faculty Senate on April 19, 1990. The Provost presented it to the Board of Regents for their discussion and it was adopted by the President to be implemented in January, 1991. At that time it will be the framework for all new searches for academic positions. The offices of the Vice President for Academic Affairs and Equal Opportunity and Affirmative Action have the ultimate administrative responsibility and authority to see that the framework is implemented.

Ideas in the second section, "Guidelines for Searches," were generated by collegiate and unit equal opportunity officers. Each collegiate and vice presidential unit had developed search guidelines in 1980, but there was a need for a general set of University guidelines. The officers responded in August of 1989 to a questionnaire that asked which procedures in use in their units seemed to be effective and which needed changing. From those responses central staff developed the guidelines, setting parameters within which units can tailor practices to their particular circumstances. Units are free to continue their own practices as long as they are consistent with this document.

The final section, "Recruiting for Diversity: Pilot Project Materials," had its origin in the 1988 Diversity Task Force of the University of Minnesota Commission on Women. Elements of the program were developed through a series of in-depth interviews with people who have participated in University searches-- as candidates or as members of search committees-- that successfully recruited women and minority faculty and staff. The materials are being piloted during 1990-91 with seven volunteer departments. The pilot project is cosponsored by the Commission on Women and the Office of Equal Opportunity and Affirmative Action.

All sections of this guide are interrelated; successful searches will no doubt be those which are able to use procedures in the service of effective recruitment. Several decades of experience have not led us to think that it is easy, but have certainly demonstrated that fairness and concern for every applicant must accompany zeal for achieving "results."

UNIVERSITY OF MINNESOTA

FRAMEWORK FOR ACADEMIC SEARCHES

January 1, 1991

FRAMEWORK FOR ACADEMIC SEARCHES

Recruitment of talented academics is of crucial importance to the success of the educational mission of the University of Minnesota. The mechanism of the search process has been utilized as the primary way of filling academic positions. The description which follows outlines the principles to be utilized in conducting searches. They reflect the experience of the institution in conducting searches over several decades and are meant to describe the essential elements of the search process for academic non-student appointments.

Responsibility for conducting effective and fair searches rests with all persons involved in the hiring process. However, the officers of the institution are ultimately responsible for conducting a process which results in the hiring of a diverse and talented academic workforce. No procedural steps are a guarantee of such results, but experience has demonstrated that an open search process is an important element in bringing them about.

FULL NATIONAL SEARCH

This process will be followed for tenured and tenure track faculty positions; probationary or continuous P/A positions; administrative positions at higher levels.

1. Position description including criteria for evaluation of applicants is prepared by appointing authority.
2. Search committee is constituted.
3. Search plan is prepared and approved.
4. The position is publicized nationally.
5. Search committee recruits candidates.
6. After the deadline,
 - (a) applicants are screened using criteria
 - (b) the search committee prepares a list of persons to be interviewed or seriously considered
 - (c) report is prepared describing the pool composition
 - (d) pool is approved.
7. Candidate interviews are held, finalists are selected.
8. Appointing authority:
 - (a) reviews committee recommendations
 - (b) selects a finalist
 - (c) prepares final report about the outcome of the search process.

LIMITED SEARCH

A limited search will be conducted for all academic non student positions not subject to the national search process. Limited search procedures are intended to be flexible. Each search should be designed to fit the position. For short term, acting and/or non-recurring appointments, the time, energy, and expense required for a full national search are not justified.

Other factors to be considered in designing a search process are the scope of the search (local, internal to a particular department, etc.) and the need for speed in the case of an unanticipated vacancy. It is expected that there will be few, if any, positions in which it is not possible to carry out some type of limited search.

Every limited search will have the following parts:

- 1) A written plan which describes the details for the search. It may provide some or all of the steps (1-8) contained in the description of a full national search. If it is the case that some steps are omitted, such omissions should be justified in the written plan.

It may be submitted for approval at the same time as the final report if this is necessary to speed up the process.

- 2) Advertising - a minimum of written notice to all eligible staff or students on campus or a notice in a campus publication for three days or in a local publication.
- 3) Application period of at least a week.
- 4) Written application.
- 5) Screening of applications and selection of finalists by a committee of at least three that does not include the appointing authority.
- 6) Approval of a final report.

For recurring positions (e.g., post doc or adjunct teaching positions) the search plan may be approved in advance and kept on file in the appropriate EEO office.

NON-COMPETITIVE APPOINTMENTS

Appointments to any type of academic appointment without a search or competition would be permitted as follows if approved by a University wide standing committee. Requests for such appointments may be presented only by the President or one of the Vice Presidents. The committee will be constituted by the Vice President for Academic Affairs and the Director of the Office of Equal Opportunity and Affirmative Action.

- 1) When a hiring can be done under the University spousal exemption regulations.
- 2) When a unique hiring situation such as the opportunity to hire an underrepresented minority, or someone so recognized in professional or academic achievements as to confer a definite and distinct benefit to the mission of the University.

Appointments to certain types of positions without search or competition would be permitted as follows (these would require the usual budgetary approval for appointment, but would not require committee action).

- 3) When a search or competition has been conducted by a non University group following acceptable equal opportunity procedures, for instance: Young Investigator Awards.
- 4) Students who hold a graduate assistantship who graduates before the term of the assistantship is fulfilled. (Thus their appointment can no longer be a student appointment.)
- 5) Visiting faculty who are permanently employed elsewhere.
- 6) Persons who will be appointed either full or part time no more than one quarter. These appointments may not be extended or renewed.

Departures from any of the elements of the Framework for Academic Searches require the permission of the Offices of Academic Affairs and Equal Opportunity and Affirmative Action. The oversight and approval process for conducting searches will vary depending upon the unit in which the opening occurs. The routing and approval requirements are found on the President's Form 16 (the search plan) and the President's Form 17 (the final report on the outcome of the process).

Additional detail about the implementation of this framework as well as suggestions for persons conducting searches will be found in the following sections of this booklet.

UNIVERSITY OF MINNESOTA

GUIDELINES FOR ACADEMIC SEARCHES

January 1, 1991

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I. INTRODUCTION TO GUIDELINES FOR ACADEMIC SEARCHES

The purpose of this guide is to assist administrators and those conducting searches for academic positions. It incorporates procedures relating to all aspects of searches into one document rather than treating equal opportunity and affirmative action considerations separately from personnel aspects. The guide reflects sound personnel practices and fair employment law as well as University policies. It cannot cover all questions or problems which may arise, nor can it guarantee a successful outcome. However, adherence to the principles outlined in the guide can minimize common pitfalls, including discrimination complaints.

At the University of Minnesota, a search is required for every new or vacant position. The goal of any search process is to identify, select and recruit a candidate who will contribute to the University's mission. Both the candidate and those involved in the selection of the candidate will benefit from a process that is efficient, effective and accountable. Generally, procedures which are clear and are followed consistently create a favorable image of an institution. Most of the guidelines that follow attempt to implement those two principles.

These guidelines flesh out the principles stated in the **FRAMEWORK FOR ACADEMIC SEARCHES** found in the previous section of this manual. They are divided into sections on national and limited searches. The bulk of the text deals with procedures for national searches; limited searches will follow many of the same steps, but greater variations will occur depending on the position and the unit in which it resides.

Each collegiate unit and vice presidential area has an equal opportunity officer whose responsibilities include the interpretation of these guidelines. If you have questions about how the guidelines apply to a particular search, you should contact your officer. Colleges or other units may have additional suggestions for the search or hiring process and should be the first point of contact in the case of questions.

Appointing authorities and search committee members should become familiar with the entire process outlined here before focusing on one step at a time.

II. NATIONAL SEARCHES

A. TENURED AND TENURE-TRACK FACULTY APPOINTMENTS

This section describes the steps for filling tenured and tenure-track faculty positions, known as "regular" appointments within the University. Tenured faculty, appointment type "P", are regular faculty who hold tenure and the rank of Associate Professor or Full Professor, 9402 and 9401, respectively. Tenure-track or "probationary" faculty are regular faculty who hold appointment type "N", which may lead to tenure, and are generally appointed at the rank of Assistant Professor or Instructor, 9403 and 9404, respectively. Tenured and tenure-track appointments are governed by the University's policy outlined in Regulations Concerning Faculty Tenure, (effective July 1, 1985) and Procedures for Reviewing the Performance of Probationary Faculty (issued June, 1986).

B. ACADEMIC PROFESSIONAL PROBATIONARY AND CONTINUOUS APPOINTMENTS

Academic professional staff positions are identified by class titles in the 97XX series and Minnesota Extension Service class titles 9601-9629. Appointments in these classes may be annual, fixed term, probationary, or continuous. However, only positions with probationary, appointment type (H), and continuous, appointment type (G), are subject to national searches.

"Academic professional staff generally parallel disciplinary faculty in having the requisite preparation and specialized knowledge in an academic discipline or field on which practice is based and in exercising independent professional judgement. These individuals are not engaged in full-time teaching and scholarly work as are faculty, but rather are assigned to duties enhancing the research, teaching, and service functions of the University." (Board of Regents, December 12, 1980)

The professional category was established to accommodate specific needs in academic departments and support service units that require graduate or professional degree preparation. The particular position description may have highly specialized duties and responsibilities. Most, but not all, professional classes require a graduate or professional degree beyond the baccalaureate. Some professional classes may also require state licensure, such as physician, dentist, psychologist. Academic credentials and relevant experience requirements are defined when the position is established and advertised.

University administrators who anticipate a vacancy which may be filled in the academic professional 93XX title series are encouraged to contact Academic Affairs and inquire about appropriate policies and procedures. The appointing administrator will also want to discuss a draft of the position description with that office.

C. ACADEMIC ADMINISTRATIVE APPOINTMENTS

Academic administrative appointments are identified by class titles in the 93XX series and Minnesota Extension Service class titles 9630-9649. Administrative appointments may be annual (K), fixed term (J), limited (L) or acting (M). However, only academic administrative positions with an annual or fixed term appointment are subject to national searches. Acting appointments do not require a national search.

Chair (9360), Head (9361), and Director (9362) require a national search when combined with a regular faculty appointment. Positions subject to a national search include the following:

| | |
|------|---|
| 9301 | President |
| 9302 | Vice President |
| 9303 | Associate Vice President |
| 9304 | Assistant Vice President |
| 9305 | Chancellor |
| 9306 | Associate Chancellor |
| 9307 | Assistant Chancellor |
| 9308 | Vice Chancellor |
| 9311 | Dean |
| 9314 | University Librarian |
| 9315 | Executive Director and Secretary to the Board of Regents |
| 9316 | General Counsel |
| 9317 | University Attorney |
| 9321 | Controller |
| 9322 | Associate Vice Provost |
| 9323 | Assistant Vice Provost |
| 9324 | Assistant Provost |
| 9325 | Associate Provost |
| 9326 | Provost |
| 9327 | Senior Vice President |
| 9328 | Vice Provost |
| 9330 | Director (University-Wide) |
| 9334 | Director (Campus/College Level) |
| 9360 | Chair |
| 9361 | Head |
| 9362 | Director |

Contact Academic Affairs to determine when a limited search may be appropriate.

For a complete list of titles and other assistance, contact Academic Affairs or refer to Academic Professional and Administrative Staff Policies and Procedures, Office of the Senior Vice President and Provost for Academic Affairs, Revision Approved by the Academic Advisory Committee, January 8, 1990, Issued October 15, 1990.

D. COMPONENTS (STEPS) OF A SEARCH

STEP 1. POSITION DESCRIPTION AND SELECTION CRITERIA

The preparation of a position description to fill a new position or one which will become available through resignation, retirement or other known turnover presumes that a department, program or other unit has been authorized to search for a position.

A. POSITION REQUESTS

The procedures for requesting authorization, when necessary, will vary from one unit to another. Generally units or departments might submit position proposals each year for review by the collegiate budget committee or other appropriate body or administrator. The proposal might accompany a department's planning statement and address (1) the nature and level of the position; (2) responsibilities of the position to the department and, if relevant, to interdepartmental programs; and (3) the programmatic rationale for allocation of the position in terms of the department's planning statement.

The appointing authority is responsible for the preparation of a position description and initial selection criteria. Those materials will become the basis for (1) the Form 16, Description of Available Academic Position at the University of Minnesota, (2) additional selection criteria, (3) advertising and recruiting strategies and (4) appointment and composition of the search committee (the search committee may be appointed after the Form 16 has been approved, as long as the Chair of the search is identified on the Form 16).

B. FACULTY RANKS AND QUALIFICATIONS

Faculty ranks and qualifications may vary by college but they must be consistent with University tenure regulations. Qualifications may be tailored to the needs of the department and the University, and to the availability of individuals in particular specialty areas.

Regular faculty may be appointed as Professor (9401), Associate Professor (9402), Assistant Professor (9403), or Instructor (9404), consistent with existing collegiate and University policy. The University tenure regulations state that initial appointments with tenure may be made only at the Associate or Full Professor rank.

C. POSITION DESCRIPTION AND SELECTION CRITERIA

The position description, including criteria for evaluation of applicants, is set by the appointing authority. In preparing the position description, the appointing authority may want to consult with the appropriate unit faculty, administrator or director.

The position description must be complete. For positions with a faculty appointment as well as an administrative or professional appointment, list both, along with other appointment information. Include the following:

1. number of positions available (if more than one position is available, specify the number, if known, or state that "several" positions are available)
2. duties and responsibilities of the position(s)
(appointment to an administrative position in the 93XX title series requires the "equal opportunity history" of the candidate selected)
3. name of the hiring unit(s)
4. rank(s) or title(s); include qualifications and experience for each rank or a statement that "the rank will depend on qualifications and experience consistent with collegiate and University policy"
5. appointment type(s)
6. the percentage of time (usually 100%) and the annual contract term (for example 9-month appointment, 11-month, etc.)
7. when the appointment begins (usually fall of the next academic year, for example 9/16/91)
8. academic preparation (distinguish between essential and desired preparation):
 - (a) academic credentials
 - (b) essential experience
 - (c) licensure, board certification or other professional requirement
9. application process (for example, letter of application, curriculum vitae, three references) and contact person or office where application is to be sent
10. application deadline (last date for receipt of application)
11. selection criteria (must be related to essential and desired qualifications and duties for the position; for example, Ph.D., two years college teaching, evidence of research and publication, etc.)

10. equal opportunity statement:

"The University is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation."

STEP 2. SEARCH COMMITTEE IS APPOINTED

A search committee with a well-defined charge will be appointed by the appointing authority in consultation with the department's regular faculty or appropriate administrator, the Dean or appropriate unit administrator and the Unit EEO Officer.

The list of search committee members must be approved by the college/unit administration, including the collegiate/unit EEO Officer. At minimum, the search chair must be selected at this point (the remainder of the committee may be appointed at STEP 3).

For major administrative positions, the President, Vice President or Chancellor will appoint the search committee in consultation with appropriate college, campus or University groups including faculty, staff, students and the community.

A. SEARCH COMMITTEE CHAIR

The search committee chair is responsible for overseeing the entire search process, working closely with the appointing authority and the Collegiate/Campus EEO Officer to ensure that careful records are kept and procedures are followed. A crucial first task of the search committee chair is to establish projected dates: for search committee meetings, reviewing application materials, interviewing applicants and making recommendations to the appointing administrator (within the time constraints imposed by the search plan and the charge to the search committee).

B. COMMITTEE COMPOSITION

The members of the search committee should understand the position's requirements, the department's needs, and University policies regarding equal opportunity, affirmative action and diversity. A search committee for a national search position should have at least five members. The following considerations should be used to select the search committee:

1. women, minority and disabled individuals, whenever possible should be included (faculty from outside the department may be asked to serve)

2. the collegiate EEO Officer may serve as a voting or ex-officio non-voting member

3. a person from outside the department (or from outside the University) should be included
4. if the position involves more than one discipline or specialty, include at least one representative from each area
5. student representation is encouraged, unless there is good reason to the contrary (memo from Richard J. Sauer, Interim President, on Student Representation on University Committees, September 2, 1988)

If the Form 16 is approved before the entire search committee is selected, the complete list of names should be sent to Academic Affairs upon their selection (a letter or memo from the appointing authority to Academic Affairs with copies to the department head/director, Unit EEO Officer and University EEO Officer).

Changes in the search committee after the Form 16 is approved and filed must be reviewed and approved through the same channels as the Form 16.

C. COMMITTEE CHARGE AND RESPONSIBILITIES

The appointing authority is responsible for the charge to the search committee. At the first meeting with the search committee, the appointing authority will clarify the position description, selection criteria and the charge. The charge should include the following:

1. approximate date for referral of finalists
2. number of finalists to be referred to the appointing authority
3. equal opportunity/affirmative action requirements, including goals for the position
4. arrangements for financial and staff resources (including travel, long-distance telephone calls, meals and housing)
5. personal responsibility of each member for equal opportunity and affirmative action and confidentiality
6. the requirement to maintain accurate records (including minutes, contacts with applicants/nominees, and committee decisions)
7. any unique concerns regarding the position

STEP 3. FORM 16 SEARCH PLAN IS PREPARED

After the position description is prepared and, at minimum, the chair of the search committee is selected, the appointing authority must prepare the Form 16 recruiting plan. To develop the plan, the appointing authority should consult with the search chair, particularly regarding recruitment strategies (STEPS 4 and 5).

In formulating and executing the search plan, the appointing authority should begin by reviewing the departmental faculty composition (or appropriate workforce), availability of women and minority individuals in the discipline(s) and specialty area(s), applicable goals for women and minority individuals and results from previous recruiting and searches during the last 5-year period. **These data are available from the collegiate EEO Officer.**

The Form 16 must be approved by the collegiate EEO Officer, Dean and Academic Affairs before any advertising or recruiting may occur.

A. Form 16 and Attachments

The search plan, Form 16, must include the following:

1. the position description, including the essential qualifications and selection criteria described in STEP 1

2. advertising copy of the position description, along with a listing of specific journals/publications, mailings and other personal and public contacts designed to attract the best candidates from diverse backgrounds (As you select journals/publications, identify publishing and distribution schedules in order to ensure timely placement.)

3. equal opportunity statement (to be included in both ads and announcements):

"The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation" or

"The University of Minnesota is an equal opportunity educator and employer."

4. a timetable for the search

5. chair of the search committee and list of search committee members, if selected (if only the chair is selected, the appointing authority should secure approval of the additional members and send the completed list to the appropriate offices as soon as possible-- see STEP 2B)

B. POLICIES REGARDING POSITION DESCRIPTIONS and ADVERTISING

1. Care should be exercised in determining the essential qualifications for a given position because once the position is approved on the Form 16 and advertised, no application, however outstanding, may be considered unless it meets the essential qualifications.

2. If the Ph.D. is one of the essential requirements, it is understood that the degree must be in hand when application is made. The search committee would not be permitted to consider an "all but dissertation" (ABD) candidate in this case. (Memo from Carol Carrier, on "Hiring ABD (all but dissertation) Applicants", August 2, 1990.

3. To consider applicants who will have the Ph.D. by date of appointment but not at the time of application, the Form 16 and the advertising must state it explicitly, for example, "Ph.D. by 9/16/91".

4. A minimum other than a Ph.D. may be appropriate. For example, if the MA, MFA or ABD is acceptable and a Ph.D. is preferred, this fact must be stated on the Form 16 and advertising. In this case, graduate degree or ABD is acceptable but preference may be given to applicants with the Ph.D.

5. If the Ph.D. in any field is acceptable, the Form 16 and advertising should simply state "Ph.D. required". If a degree in a particular field is required, the Form 16 and the advertising must state the field. For example, "Ph.D. in History".

A broader pool of qualified candidates may be attracted by requiring the Ph.D. or other terminal degree either in a specific field "or related discipline". In that case, the search committee must be clear on which fields are acceptable. A report of availability by specialty, race and sex is available from the Collegiate/Campus EEO Officer.

6. The last date for receipt of applications should allow ample time to attract the best candidates. Under normal circumstances, a minimum of at least six weeks is recommended between the approval of the Form 16 and the application deadline.

Depending on the particular position, availability of a diverse pool, and the efficiency or adequacy of the recruiting strategies, a shorter or longer recruiting period may be recommended.

The six-week time period assumes that the advertisements are placed with the journals and other publications in a timely manner. The intent is to give potential applicants and nominees time to respond to the announcements. The deadline for nominations may occur before the deadline for applications or remain the same for both (Patricia Mullen memo of May 26, 1987, regarding The Nomination Process).

STEP 4. POSITION IS ADVERTISED NATIONALLY

Only after the Form 16 with attachments has been approved by the college, collegiate EEO Officer and Academic Affairs, may advertising and recruiting begin.

The success or failure of identifying, attracting and maintaining a pool of qualified candidates depends, in part, on:

1. quality and variety of communication and media used to inform potential applicants
2. coordination and timely placement of advertisements and other announcements
3. professional and timely response to applicants, inquiries and nominees

A. SELECTING JOURNALS AND PUBLICATIONS

Recruiting strategies should target appropriate professional journals, publications and other methods designed to attract qualified applicants. The advertising sources chosen will depend on the position's identified qualifications and discipline(s) or specialty area(s). In reviewing the following recommendations, keep in mind the need for an open public search and the need to attract a diverse pool of qualified candidates:

1. Provide written notice of the position to professional associations and appropriate committees concerned with the placement of women, minority individuals, disabled individuals or Vietnam Era veterans (also identified as protected group and affirmative action individuals).
2. At minimum, place an advertisement in an appropriate national publication (for example, the Chronicle of Higher Education), one professional journal and one another national or regional publication targeted to recruit protected group individuals.

3. In addition, announcements may be sent to:

(a) graduate institutions at which qualified women, minority and disabled candidates can be found

(b) organizations and professional caucuses for women, minority and disabled individuals in the discipline/profession for inclusion of position announcement in their journals and newsletters

(c) departments and colleagues at other institutions with request to contact, nominate or recommend candidates including women, minority individuals, disabled people and Vietnam Era veterans

(d) professional meetings (caution is advised in distinguishing between informational discussions with potential candidates and formal interviews by the search committee)

B. ADVERTISING AND RECRUITING

Searches that do not move ahead in a timely manner can frustrate both the department and the candidates and can lead to unsuccessful outcomes. The appointing authority must ensure that the approved ads and announcements are submitted in time to meet the publishing deadlines and the search committee's timeframe.

While it is unlikely that all advertising will occur at the same time, the more visible advertisements should be placed soon after the Form 16 approval to allow potential applicants sufficient time to apply.

A search committee member or staff person should be appointed to coordinate advertising, retain copies of all ads and other mailings and record the dates.

C. RESPONDING to APPLICANTS and NOMINEES

The success or failure of a search also depends on the search committee's timely and professional response to candidates through each phase of the search. The committee should decide how it will respond to potential applicants and nominees. Someone should be assigned to this task, and should keep a record of contacts made (see appendix for example of "Recruitment Contact Sheet").

Preliminary screening of applications may begin before the application deadline. Applicants who do not meet the essential requirements should be informed in writing as soon as possible (refer to STEP 6, Screening For Essential Qualifications).

STEP 5. SEARCH COMMITTEE RECRUITS CANDIDATES

The search committee is not limited to the advertising and other hiring plan activities on the approved Form 16. Other appropriate strategies should continue to evolve during the recruitment period and before the deadline for applications.

A. WORD OF MOUTH ADVERTISING

While current policy and fair employment law require that positions be publicly advertised, the informal "word of mouth" approach is still one of the most successful practices for identifying candidates in higher education, so long as protected group candidates are not excluded.

Often, outstanding candidates do not apply for advertised positions; they may have to be approached by a member of the search committee or another faculty member. These "good faith" efforts should also be documented.

B. OTHER RECRUITING SUGGESTIONS

In addition to seeking nominations, the search committee and the department are encouraged to use the following activities for current and future positions:

1. Encourage faculty who will be attending professional conferences or visiting other universities to combine their visits with recruitment efforts. They should be encouraged to solicit curricula vitae from promising candidates.
2. Establish a working relationship with other departments where women and minorities reside.
3. Survey women and minority caucuses within relevant professional associations to solicit names of potential candidates.
4. Maintain ongoing contact with professional organizations, associations and agencies that have a job referral service.
5. After sending announcements to departments at other universities, follow-up with a personal contact or phone call to inquire about potential candidates at those institutions. An annual publication, CIC Directory of Minority Ph.D. Candidates and Recipients, lists individuals from the "Big Ten" schools and the University of Chicago. Minority & Women Doctoral Directory (MWDD), a national directory of minority and women doctoral students who have recently received or are soon to receive their degree from one of approximately sixty major research universities in the United States is now available (see the appendix for ordering information).

6. Invite women and minority scholars from other institutions to participate in department-sponsored symposia and visiting appointments.
7. Use a personal approach to contact potential candidates who have been identified or nominated. If an individual declines a nomination or does not respond to your letter, try to contact the person by phone to determine if the reason for declining can be addressed or resolved.

STEP 6. AFTER THE DEADLINE

After the advertising and other recruiting activities have been implemented, the search committee must complete its evaluation of the pool of applicants and seek approval of the pool before conducting interviews.

At the end of this step, the search committee will be asked to (a) re-evaluate the current pool and/or selection criteria, (b) extend the search or (c) invite candidates for interviews.

A. THE APPLICANT POOL

To evaluate the results of its advertising and other recruiting efforts, the search committee must (1) respond to nominees, (2) acknowledge applications and send the Form 24, Applicant Tracking Record for Academic Positions (see copy in appendix), (3) screen applicants, (4) prepare a tentative list of candidates to interview or give serious consideration, and (5) prepare a report describing the pool composition and documenting the search and evaluation procedures.

(1) NOMINATIONS

Nominees may be given additional time beyond the deadline to complete their applications as long as the search committee has contacted them by the deadline and the nominees have agreed to be a candidate (see appendix for memo on nominations). If the initial contact of the nominee by the search committee is informal (in person or by phone), the search committee should document the response and forward a letter of acknowledgement, regardless of the initial response.

Nominations may not be accepted after the deadline unless the search is re-opened, requiring approval to amend the Form 16 hiring plan (STEP 3).

(2) APPLICATIONS

All applications should be acknowledged by the search committee. Applicants who meet the deadline should be sent a letter of acknowledgement which includes a job description and a request to voluntarily complete and return the Form 24 (see appendix for sample letter).

For applications which are incomplete, the letter of acknowledgement should include a request to provide the missing information by a specified date, in most cases, the last date for receipt of applications. Candidates with incomplete applications may be given additional time beyond the deadline to complete their applications as long as they had made formal application by the deadline. However, the search committee must clearly define the elements of a "complete application" and incorporate them into the entire evaluation and selection criteria.

Applications received after the deadline (based on post mark date or receipt date, as stated in the announcements and ads) cannot be considered by the search committee. Candidates should be informed of this in writing. Late applications cannot be considered unless the search is reopened, requiring approval to amend the Form 16 search plan (STEP 3).

(3) SCREENING for ESSENTIAL QUALIFICATIONS

The search committee's first screening of the applicants will be to determine which candidates meet the essential qualifications as listed on the approved Form 16, advertising and position description. The essential qualifications should be part of the total selection criteria, previously defined with the position description at STEP 1.

Preliminary screening of the applications may begin before the application deadline. Individuals who do not meet the essential requirements should be informed in writing as soon as possible. One or more members of the search committee may review the applications to screen for essential qualifications. This will provide for consistency in the initial screening and permit the search committee to proceed with further screenings.

(4) SHORT LIST FOR INTERVIEWS

After determining the pool of applicants who meet the "essential qualifications," the search committee continues to refine the pool, carefully documenting the selection criteria used at each screening (and recording which applicants meet the criteria). Whatever criteria are used at each screening, they must be applied equally to all candidates at that stage in the process.

The process is repeated until a manageable "short list" is agreed upon by the search committee. The appropriate number of candidates to invite for interviews or to give serious consideration will vary with the position, overall pool size, pool composition (diversity), and constraints imposed by the charge to the committee (budget and number of candidates to be recommended for selection).

(5) SEARCH COMMITTEE'S INTERIM REPORT

When the search committee members have completed their screening of the pool, the chair prepares a report on this activity to the appointing authority and department head, using the Form 17.

The report must then be approved by the college or appropriate unit, and the Office of Equal Opportunity and Affirmative Action where it will be stamped "Approved" and initialed. All copies will be returned. If the report is not approved, the collegiate or unit EEO Officer will be notified of the decision by phone, and additional efforts will be discussed.

The purpose of this review is to ensure the integrity of the search and reduce the risk of legal liability. The search committee must document the validity and the thoroughness of the search in terms of pool composition, number of candidates, and quality of candidates at each stage of the evaluation and screening process.

At this step, the search committee will be asked to either (a) re-evaluate the current pool and/or its application of selection criteria, (b) extend the search, or (c) invite candidates for interviews.

The search committee's report describing the pool composition should include the Form 17 with the following portions completed:

- > Form 16 number
- > name of search chair
- > applicants by race/sex
- > applicants who meet the essential qualifications, by race/sex
- > applicants referred for interviews by race/sex
- > affirmative action goals and availability percentages for women and minorities

If the "applicants referred for interviews" includes both women and minorities, no attachments are necessary.

If women and minorities are not included, provide the Form 17 and attach the following information:

(a) selection criteria (from position description and any additional criteria used by the search committee)

(b) curriculum vitae of all "applicants referred for interviews"

(c) curriculum vitae of all women and minorities from "applicants who meet the essential qualifications" who were not referred for interviews, along with reasons for their nonselection

If the female or minority percent of "qualified applicants" is less than availability, AND the search chair is satisfied that all possible efforts have been made, attach the above information and the following:

(d) a summary of all advertising and other recruiting efforts, with dates (committee files should include copies of all ads and correspondence)

(e) if either no women or no minorities applied, document their non-availability by explaining why you think they did not apply, AND attach copies of all advertisements, postings and announcements

B. AFFIRMATIVE ACTION OBLIGATIONS

(1) THE FORM 24

The form 24, Applicant Tracking Record for Academic Positions, is used to measure the success of a search in recruiting qualified individuals who are covered by the University's affirmative action programs.

Applicants for academic positions have the option to identify by name for consideration under an applicable affirmative action program for women, minority individuals (American Indian, Black, Asian and Hispanic), disabled individuals, disabled veterans and Vietnam Era veterans.

(2) EVALUATION OF AFFIRMATIVE ACTION CANDIDATES

The search committee must ensure that identifiable affirmative action candidates are given serious evaluation and consideration for an interview and selection. This does not mean that individuals who do not meet the essential qualifications must be interviewed or hired. However, it may require additional efforts: re-evaluation of credentials; re-evaluation of selection criteria for job-relatedness and weighting; or the inclusion of "covered applicants" in the next round of the evaluation and selection process when they rank near the cut-off level.

In hiring "the best" candidate, screening beyond essential qualifications becomes increasingly qualitative and difficult. In applying the selection criteria for measuring "the best", the search committee must define its "standard" for each screening and must document consistent application of it in the evaluation of candidates and their credentials.

"While publications may be a significant indicator of future success, they are not the only indicator. The committee may wish to examine a candidate's entire career when applying its criteria for selection. A woman, for instance, who has earned her degree and entered the academic profession after taking time out to raise a family will undoubtedly have fewer publications than a male of the same age whose career has been uninterrupted. If one evaluates her publication record, however, in terms of the time period over which it was produced, she may well be the stronger candidate." (Ohio State Search Guidelines, p. 14)

Discussion of a candidate known to one or more members of the search committee tends to influence the evaluation of the candidate. The search chair should not permit such discussion except within the context of the selection criteria and when comparable information is used for all candidates.

(3) WOMEN ACADEMIC EMPLOYEES POLICY

"In any hiring decision for a position in which the availability statistics and numerical goals indicate an underrepresentation of women, the University shall consider gender in selecting between two or more candidates with approximately equal qualifications." (Approved by University Senate, April 19, 1990)

C. RECORD-KEEPING

The University is required by state and federal law to maintain and report summary information about applicants and hires by race, sex, disability status and Vietnam Era veteran status. Specific information may be requested pursuant to individual complaints or compliance reviews.

The chair of the search committee is responsible for ensuring that complete records are kept during the search. After the search has been completed, Form 17 has been approved, the storage of the committee files is the responsibility of the appointing authority.

Search committee files must be kept for three years. Questions about contents and dispositions of the files after three years should be referred to the Office of the University Attorney (files on searches which are in litigation must not be disposed until completion of litigation).

At minimum, the committee files should include the following:

- (1) The Form 16, position description, ad copy (ies)
- (2) actual copies of announcements, advertising and other solicitations for applications and nominations
- (3) applications, nominations, correspondence, evaluations, references (and reference checks), and verbal contacts with or about applicants or nominees
- (4) minutes for all committee meetings to include selection criteria, decision making, voting, etc.
- (5) the committee's interim report described in STEP 6
- (6) evaluation of candidates who are interviewed, reasons for those who are not referred for selection, and the faculty vote on tenure and tenure-track decisions

D. CONFIDENTIALITY

As noted in the charge to the search committee, the information in the search committee files, including the names of applicants and nominees, is confidential. Requests for information and questions about the search should be referred to the search chair.

The Form 16 and attachments, including the position description, names of search committee members (except committee members' race and sex) and selection criteria, are public information.

Each applicant has the right to inspect his or her own file, including evaluations of the application, letters of reference (and reference checks), and reasons for non-selection. An applicant does not have the right to information about other applicants.

Requests for information and questions about the names of candidates on the "short list" for interviews should be referred to the appointing authority. This information may be made public by the individual candidates or by notices to faculty, staff and students regarding public seminars or lectures to be presented by the candidates.

After the Form 17 is approved, the file copy of the form with attachments is available for inspection by the public in the Office of Equal Opportunity and Affirmative Action (with the exception of the Form 24's).

E. REOPENING THE SEARCH

A recommendation or request to reopen a search may be made when the size, quality or composition of the pool is unacceptable. Extending the recruiting period beyond the initial timeframe requires amending of the Form 16 (STEP 3).

The decision would normally occur (1) after the search committee's interim report to the appointing authority, STEP 6; (2) after conducting interviews, STEP 7; or (3) after offers are declined by viable candidates, STEP 8.

For requests to reopen the search and to extend the timeframe, the appointing authority may send a letter to Academic Affairs with copies to the college or administrative unit and the Unit EEO Officer. The request should specify:

- (a) the Form 16 number
- (b) the reason for the extension
- (c) the new timeframe (deadline for applications)
- (d) at minimum, a national journal or publication for advertising the new timeframe
- (e) other recruitment activities

The advertising, announcements and other recruitment activities must include "Search Reopened" or "Search Extended". The decision to reopen should be done as soon as possible. Depending on the particular circumstances, the position and the time of year, the search may have to be terminated.

If a search is reopened, the current applicants must be informed of their status. Information about those applicants must be included with the documentation on the total search.

STEP 7. INTERVIEWS AND SELECTION OF FINALISTS

Individuals who meet the essential qualifications and are not selected to be interviewed should be so notified. Any candidate may request the job-related criteria used to evaluate all applications and the evaluation of the individual's application, including letters of reference and reasons for non-selection.

A. PREPARATION FOR INTERVIEWS

Recruiting a good pool of qualified candidates is no small matter. Preparations for conducting interviews and sustaining the interest of those candidates will require the concerted efforts of the search committee and the department. The fact that a candidate has agreed to be considered does not necessarily mean that the person would accept the position if it were offered.

Before the candidate arrives, a written agenda for the campus visit should be prepared and mailed or given to the candidate upon arrival. The agenda should include the names and titles of individuals and groups the candidate will meet and the name of the staff or faculty member(s) who will "host" the candidate and escort the candidate around the campus. If a candidate is to make a formal presentation, the length should be specified in the agenda.

(For further information about preparing for campus interviews, see the Commission on Women Working Guide: Resources for Searches to Increase Diversity, in the Recruiting for Diversity Pilot Project materials.)

B. CAMPUS VISIT AND INTERVIEWS

In interviewing candidates, the search committee should develop a set of core questions based on job-related criteria by which the candidates are to be evaluated. The questions should be asked of all candidates. Follow-up questions based on responses to the initial set of questions are appropriate and will most likely vary with each candidate. Evaluations and rankings should be supported with written comments and responses.

For appointments in the administrative 93XX title series, the search committee must provide the "equal opportunity and affirmative action record" of the candidates. Depending on the particular position, the selection criteria could include the "EEO record". In all cases, this EEO-related information must be documented for all interviewees. The search committee may request this information prior to the interviews and/or address it during the interviews.

The candidate's visit might also include:

(1) a seminar or formal presentation by the candidate with sufficient time for comments, questions and discussion. If the appointment involves faculty from more than one unit, representatives from those units should be invited to interview the candidate and attend the presentation.

(2) a meeting with the Dean or Associate Dean. The Dean should also receive a copy of the candidate's resume and the agenda for the visit.

(3) Prior to a vote by the department faculty, if required, the voting members should be informed that the files of candidates being recommended are available for review.

C. DEPARTMENTAL DECISION ON CANDIDATES

Within the hiring department, the decision to offer an appointment may require the majority support of all regular faculty, tenured and tenure-track, including those defined as voting members who are budgeted and/or tenured in another department. If the appointment is a shared one, it may require the majority support of the faculty of both departments. When a consensus on appointments is not initially reached, departments are encouraged to continue discussion.

If the appointment involves the conferral of tenure, the University and collegiate policies apply:

Initial appointments with indefinite tenure may only be made at the rank of Associate Professor or Professor. Such appointments may be made only after receiving the recommendation of the regular faculty holding indefinite tenure in the academic unit concerned (see appendix for Regulations Concerning Faculty Tenure, effective July 1, 1985).

Decisions on tenure must be based on the procedures of the University's tenure code. Section "7.12" of the tenure code requires each unit to have a document "that articulates with reasonable specificity the indices and standards which will be used to evaluate" candidates. Each department has on file a "7.12 statement", which was approved by the college and the University. The indices and standards in the unit's 7.12 statement apply to evaluating initial hires just as they apply to evaluating faculty already in the department.

A separate vote must be taken regarding the conferral of tenure. Only the regular tenured faculty in the academic department(s) concerned are eligible to vote on this question. Minutes of the meeting must include the names of all faculty eligible to vote on the motion, names of those present, names of those voting, and the vote totals.

"In as much as a tenured appointment may not be offered by the appointing authority without the approval of the unit in which tenure will be held, similar approval must be sought for all tenure-track appointments." (approved by Faculty Consultative Committee, October 23, 1990)

The case for tenure must be reviewed by Academic Affairs and the Dean of the Graduate School with final recommendation by the Senior Vice President for Academic Affairs and Provost.

STEP 8. APPOINTING ADMINISTRATOR SELECTS CANDIDATE

The department chair/head or appointing administrator reviews the search committee's evaluation of all candidates who were interviewed, the list of candidates who are recommended for selection, and the reasons for candidates who are not referred for selection.

The appointing administrator may now interview the referred candidates, if this was not done when they were interviewed by the search committee; or may select a candidate to whom the position will be offered, based on the committee's recommendation.

If women are referred to the appointing authority as finalists for selection, the appointing authority must review availability and goals for the position and the Senate Policy, "Women Academic Employees Policy Statement", approved April 19, 1990:

"In any hiring decision for a position in which the availability statistics and numerical goals indicate an underrepresentation of women, the University shall consider gender in selecting between two or more candidates with approximately equal qualifications." (See appendix for the complete statement.)

No offer of a position may be extended until the Form 17 has been approved by the Dean, Unit EEO Officer, Academic Affairs and the University EEO Officer. However, candidates who were interviewed may be informed of the status of the search.

A. Consultation with the Dean's Office

After the department makes a tentative decision regarding the candidate to whom they would offer the position, the department chair will most likely want to discuss this recommendation with

the Dean before completing the Form 17. The discussion can be by telephone and will usually include salary and rank, if searching for more than one rank. The department chair/head should also report the results of the faculty vote on appointment and, if applicable, on conferring tenure.

B. THE FORM 17 PATH

A President's Form 17, "Summary of the Affirmative Action Process Assuring Equal Employment Opportunity in Academic Appointments," is required for each individual who will be offered a position. The Form 17 path through the various offices is as follows:

The Form 17 and attachments are completed by the department (or comparable unit). The department chair/head signs the Form 17, thereby certifying that the information on the form is correct and that affirmative action procedures were followed. The form is then submitted to the Dean's office.

The Dean and the Collegiate EEO Officer review and approve the Form 17. If there are questions or concerns, the Dean's Office will discuss these with the unit before signing and forwarding the form to the University Equal Opportunity Office. **Academic units reporting to the Vice Provost for Arts, Sciences and Engineering will forward the Form 17 to that Office before it goes to the University EEO Office.**

After approval by the University EEO Office, that office will forward the form to the Vice President for Academic Affairs.

For appointments with tenure, the Form 17 must also be approved by the Graduate School. Academic Affairs takes the form to the Graduate School for signatures. After the Graduate School has signed, Academic Affairs reviews and approves the form. **For appointments with tenure, report a summary of the vote regarding tenure for the candidate if available** (refer to Regulations Concerning Faculty Tenure, Effective July 1, 1985, Section 9, page 9).

The Academic Affairs Office notifies the Dean's Office immediately after the form has been approved. The College then phones the department; **after that phone call, the department may make the job offer to the individual.** The blue copy of the Form 17 will be returned to the department by campus mail.

If the department fears losing a candidate while the Form 17 is being processed, someone may "walk" the form through the various offices. Please be prepared, however, to allow time for the form and attachments to be reviewed. **Also, the candidate may be informed of the department's recommendation on the search results as long as no offer is made.**

C. NOTES ON COMPLETING THE FORM 17

To complete the Form 17, the unit will need to refer to the Form 16 for the search and to the records and files kept during the search process.

In the upper right-hand corner of the form, type in the Form 17 number, which corresponds to the Form 16 number, for example "CLA 172."

Most of the information required for the top two lines can be taken from the Form 16. The salary figure is a "proposed" salary, since the unit has not yet made an offer of the position.

To determine the "pool of applicants" for Item B, Lines 1 to 6, on the Form 17, refer to the directions on the reverse side of the Form 17 (see appendix). To complete the ethnic/racial columns, include applicants who are identified by the Form 24, vita, or visual survey, or who are known or thought to be White, Black, Hispanic, Asian or American Indian.

For "all applicants", include all individuals who applied by the last day for receipt of applications or nominees who were contacted by the deadline date and agreed to be a candidate. For "qualified applicants" include all applicants who supplied the application information requested by the search committee and who meet the essential qualifications, academic preparation and experience, as stated on the approved Form 16 (see appendix).

In deciding the racial/ethnic identification of the interviewees, refer to the definitions provided on the Form 24 (see appendix).

D. THE FORM 17 ATTACHMENTS -- CHECKLIST

Units may use the following as a checklist for the required attachments to the Form 17:

Curriculum vitae of the candidate.

For an appointment in the administrative 93XX title series, include a statement on the "EEO history" of the candidate.

Three letters of recommendation for the candidate **are not required for University approval of the Form 17** (the college may require three letters of recommendation for all tenured or tenure-track appointments).

All applicant tracking forms (Form 24).

For each woman and minority who was interviewed and withdrew or declined the interview, attach the following:

- > reasons for withdrawing
- > when the person withdrew

If a woman is interviewed and not selected, attach the following:

- > selection criteria used by the search committee during and after the interviews
- > reasons for nonselection
- > curriculum vitae

If a minority is interviewed and not selected, attach information similar to that required when a woman is interviewed and not selected.

E. ANTI-RAIDING POLICY

The University adheres to the anti-raiding policies of the American Association of Colleges and Universities. This means that for candidates who hold probationary or tenured positions at other institutions, offers must be made by May 1. If a unit anticipates needing to extend an offer after May 1, the College must be consulted so that a waiver of this policy can be sought from the candidate's employer.

F. EXTENDING THE OFFER/CHECKLIST FOR LETTER OF OFFER

After the unit has received notification that the Form 17 has been approved, the unit may extend an offer to the candidate. The offer may be made by telephone, but the terms of the offer should be specified in a letter that must include the following:

- (1) Regents' Approval: the appointment is contingent upon approval by the Board of Regents or delegee.
- (2) Type of Appointment: the appointment is a regular, tenured appointment or a regular probationary appointment leading to the possible conferral of tenure, in which case the individual's work and progress will be evaluated annually, and the decision on tenure must be made no later than the sixth probationary year.
- (3) Department in which the person is to be hired, and department in which tenure is to be held (if a shared appointment).
- (4) Percent time of appointment (usually 100%).
- (5) Term of Appointment: "B" appointments for the academic year (nine months) begin on September 16. "A" appointments (twelve months) usually begin on July 1 (see reverse side of Notice of Appointment - BA Form 352C, in appendix)

- (6) Rank.
- (7) Salary.
- (8) For probationary tenure-track appointments only, tenure credit from previous service at other institutions will be granted in accordance with University policies. The unit makes a recommendation to the College, which then makes a recommendation to the University Office of Academic Affairs. Tenure credit will be assigned on the basis of previous tenure-track service at a comparable institution, as the tenure code requires.
- (9) For all tenured and tenure-track faculty appointments, sabbatical credit will be granted in accordance with University policies. Sabbatical credit is not tied strictly to previous tenure-track or tenured appointment, but, like tenure credit, requires approval from the Dean's Office and the Office of the Vice President for Academic Affairs.
- (10) If this appointment is to be a shared one (e.g., workload in more than one unit), the letter should spell out these arrangements. Where appropriate, include details on how merit salary evaluation and the promotion and tenure procedures will be handled among the units.
- (11) Remember to cc: the College Dean.

If the appointment is contingent upon completion of the Ph.D., or if the start date of the appointment is delayed, or if any other special circumstances are involved, consult with the Dean's Office before sending out the final draft of the letter of offer.

After the candidate has accepted the offer, the unit chair should ask the candidate to send a brief acceptance letter. (The unit should send a copy of the acceptance letter to the Dean.)

G. FIRST OFFER DECLINED

If a candidate is offered a position and declines, a new Form 17 must be submitted, and clearly marked at the top right as "2nd offer." If a unit is concerned that an initial offer may not be accepted, and time is a critical factor, the unit can submit multiple Forms 17, indicating the sequence of offers; the forms can then be reviewed and approved at the same time.

H. MATERIALS FOR THE NEW APPOINTEE

Once an offer has been accepted, the new colleague should receive copies of the current "P/A Handbook" or College and University promotion and tenure documents: Regulations Concerning Faculty

Tenure (effective July 1, 1985), the document entitled Procedures for Reviewing the Performance of Probationary Faculty (issued June, 1986), and the college guide to promotion and tenure, if available, as well as the unit's indices and standards for promotion and tenure (see appendix for the "7.12 standards") and the unit's sex-neutral guidelines for merit pay determinations.

The new colleague will also appreciate a copy of University and College information about benefits, research support, instructional support, libraries, and so on.

I. PROCESSING APPOINTMENT DOCUMENTS

When the University's Office of Academic Affairs returns the unit's blue copy of the Form 17, they also send a white photocopy which is stamped "Return this Copy with Document." The unit keeps the blue copy, but attaches the white one to the appointment document (PAF) which is sent to the College Budget Office or designated administrator.

Three other forms that must be attached to the PAF are the W-4 form, the "disclosure of income withholding child support obligations" (BA #963), and the academic personnel information form (BA Form 616).

J. COMPLETING I-9 FORM AND VISA PROBLEMS

The new immigration law requires employers to verify the work authorization for all employees, including U.S. citizens. The employer and employee must complete and sign an Immigration and Naturalization Service form (I-9 form) attesting to eligibility to work. New employees who cannot fill out the I-9 forms on campus in time to meet the PAF deadlines may choose to receive a blank I-9 form by mail; they then fill it out, have it notarized and return it to the department.

Employment of anyone who is not a United States citizen or permanent resident (holds a "green card") requires special procedures. Contact the Office of International Education for information and guidance at the beginning of a search if there is any possibility of hiring a foreign national.

K. UNSUCCESSFUL SEARCHES

If the search fails to identify a qualified candidate, or when those offered the position decline, and re-opening a search is not feasible, please notify the college or administrative unit and the University EEO Office.

Although conducting a search can be time-consuming and costly, a unit should never accept a candidate simply to fill a position. The University is committed to identifying and attracting the very best candidates. An unsuccessful search should be discussed with the Dean or appropriate administrator. Positions from unsuccessful searches generally will be returned to units for a new search the following year that draws on the experience of the previous search to increase the probability of success.

Depending on the circumstances, reopening the search and extending the timeframe may be possible. Refer to STEP 6, Reopening the Search.

III. LIMITED SEARCHES

The basic components of positions subject to a limited search do not differ from positions subject to national searches. The sequence of steps remain the same for limited searches except that several steps may be combined and implemented together. Rather than repeat the detail outlined under national searches, this section addresses the basic differences. Academic units may augment these guidelines with their internal guidelines tailored to meet their needs.

A. POSITIONS NOT SUBJECT TO NATIONAL SEARCH

A limited search will be conducted for all academic non-student positions which are not subject to a national search (Section II):

1. non-regular faculty positions in the 94XX title series without tenure or tenure-track appointment, including adjunct (A), clinical (C), temporary (T) and visiting (V)
2. administrative positions in the 93XX and 96XX title series which are not identified in Section II, C (including acting positions, appointment type "M")
3. faculty administrative positions to augment a current faculty appointment with the title of Chair (9360), Head (9361) or Director (9362).
4. academic staff professional positions in the 96XX and 97XX title series, identified in Section II, B, except probationary (H) and continuous (G).
5. post-doctoral positions in the 95XX title series with the following titles:

- 9540 Pharmacy Associate
- 9546 Post-Doctoral Associate
- 9549 Veterinary Medical Associate
- 9554 Medical Fellow
- 9557 Psychology Fellow

For a complete list of titles and appointment information, contact Academic Affairs or refer to Academic Professional and Administrative Staff Policies and Procedures, issued October 15, 1990.

B. COMPONENTS (STEPS) OF A SEARCH

STEP 1. POSITION DESCRIPTION AND SELECTION CRITERIA

The contents of the position description are the same for national and limited searches. The responsibility for it and the selection criteria remains with the appointing authority.

STEP 2. SEARCH COMMITTEE IS APPOINTED

Whenever possible and depending on the particular position, a search committee of three people is recommended. For research and post-doc positions, a search committee may not be appropriate. In this case, the principal investigator may select the candidate.

STEP 3. FORM 16 SEARCH PLAN IS PREPARED

The requirements and contents of a national and limited search are the same with three exceptions: (1) a minimum of five days is required for applicants to respond to last day for receipt of applications; (2) for on-campus posting, augmentations, or acting appointments, a minimum of written notice to all eligible staff or faculty, or a notice in a campus publication for three consecutive days and, if appropriate, in a local publication ; and (3) depending on the circumstances and the particular position, the approval of the Form 16 and Form 17 may be done together.

For academic units which hire on a regular basis in one or more titles, the annual preparation of a Form 16 "multiple hire" may be most appropriate (see appendix for sample). In this case, the recruitment period, appointment period and deadline for receipt of applications would occur over an annual period, for example, from July to June or other annual cycle.

STEP 4. POSITION IS ADVERTISED

For limited searches, on-campus advertising may be appropriate for some positions. However, other positions may require broader recruiting, depending on the essential requirements and the availability of qualified candidates.

STEP 5. SEARCH COMMITTEE RECRUITS CANDIDATES

When time and circumstances permit, committee members should be responsible for actively developing additional recruiting strategies. "Other Recruiting Suggestions" from National Searches, STEP 5, B, may be appropriate for use in limited searches. In all cases, "word of mouth" recruiting must be augmented with additional public postings of open positions.

STEP 6. EVALUATION THE POOL COMPOSITION

Positions subject to limited searches do not require that the University EEO Office approve the pool prior to conducting interviews. At minimum, a committee of three that does not include the appointing authority is recommended.

STEP 7. INTERVIEWS AND SELECTION OF FINALISTS

In conducting interviews, the search committee and appointing authority must adhere to the same guidelines for national and limited searches. It may not be appropriate or necessary to conduct interviews in each search. However, candidates must be treated with consistency and fairness throughout the entire process.

STEP 8. APPOINTING ADMINISTRATOR SELECTS CANDIDATE

The approval requirements and contents of the Form 17 are the same for national and limited searches except that: (1) the Form 17 does not require approval from the University EEO Office; (2) depending on the particular position and circumstances, the Form 16 and Form 17 may be approved by Academic Personnel together; and (3) for "multiple hire" Form 16's which are filed annually, appointments may be made throughout the annual cycle as individuals are needed and as applications are received.

For "multiple hire" appointments, one or more individuals may be hires throughout the academic year, fiscal year, or other annual cycle, with one or more deadlines (quarterly) from an approved Form 16 provided that: (1) a separate Form 17 is approved for each candidate selected; (2) the same Form 16 number is used for each Form 17; (3) the faculty rank or other academic title, appointment type, essential qualifications and selection criteria are consistent with those on the Form 16; (4) the pool of applicants must reflect the cumulative pool; and (5) the last date for receipt of applications and appointing period is current for the Form 16 on file.

III. NON-COMPETITIVE APPOINTMENTS

An appointment to any academic title or appointment type is permitted without a search if approved by a University-wide standing committee. Requests for approval may be made for the following circumstances:

(1) When hiring under the University spousal exemption regulations; and

(2) When hiring under a unique situation such as the opportunity to hire and underrepresented minority or someone so recognized in professional or academic community with achievements as to confer a definite and distinct benefit to the mission of the University.

The request for an exemption must be made by the President or a senior administrator such as a Vice President. Approval of the Form 17 and "exemption request" requires the same procedures for approval of the Form 17 to extend an offer on positions subject to national searches, STEP 8. However, the request for exemption replaces the Form 16.

The Form 17 must be prepared using "EX" in place of the Form 16 number and leaving Section B, Applicant Pool, empty except Line 6, race and sex of the candidate selected. Attach the exemption letter described below and curriculum vitae of the person to be appointed.

The request for exemption letter should be addressed to Director, Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall, Minneapolis Campus. It must include the following:

- name of person to be appointed
- rank and title
- beginning and ending dates of appointment, if non-regular, and percent time
- reasons why a search is not possible
- responsibilities of the position
- experience and academic background which qualify the person for this position

An appointment to any academic position and appointment type, except those subject to a national search, is permitted without a search or request for exemption for the following circumstances:

(1) Awards and Grants

Individuals, from within or outside the University, who have been awarded a grant through a search or competition, from within or outside the University, including, but not limited to:

- Young Investigator Awards
- Principal Investigators

(2) Graduate Assistantships

Students admitted to Graduate School degree programs and to other graduate-level degree programs are eligible to hold graduate assistantships: Teaching Assistant (9511), Research Assistant (9521), and Administrative Fellow (9531).

Students who graduate while they hold graduate assistantships, and have not been officially admitted into another graduate level degree program, may complete any remaining full quarters of an appointment after graduation with a change of class title.

The assistant would change to one of the following titles to complete any additional quarters of appointment: Teaching Assistants could be reclassified as Teaching Specialists (9754) (given completed master's degree) or Lecturer (9753) (given completed Ph.D.), Research Assistants as Research Specialists (9755), and Administrative Fellows as either Research or Teaching Specialists. The appointment cannot extend beyond June 15 or June 30 (for B and A terms, respectively).

(Academic units should refer to the Academic Personnel Policies and Procedures Manuel for complete information regarding posting requirements and guidelines for holding assistantships.)

(3) Visiting Faculty

Individuals may be hired on a visiting appointment, non-regular faculty appointment, Type "V", without a search.

"The appointment is designated a Visiting appointment because the faculty member is from another institution or is a professional from a government or private agency on a leave of absence to accept a temporary appointment at this University" (Tenure Regulations, Sections 3.3 and 3.4).

The appointment is date-specific and the rank is the same as his or her rank at the home institution. For professionals from government or private agencies, the appropriate rank depends on the person's qualifications and experience.

(4) One Quarter Appointments

Individuals may be hired for one quarter, either full or part-time, without a search. The appointment must be date-specific and is limited to one quarter. No reappointment or extension is permitted without an appropriate search.

**RECRUITING FOR DIVERSITY:
PILOT PROJECT MATERIALS**

January 1, 1991

COMMISSION ON WOMEN WORKING GUIDE
Resources for Searches to Increase Diversity

Background

The University of Minnesota is engaged in a number of initiatives with respect to diversity among its students, faculty and staff. These efforts are based on the premise that "the future of the nation and of its higher education system depends on our abilities to educate a diverse student body to assume active roles in a multiracial, multicultural world." (from Minnesota's Commitment to Educational Excellence, 1990)

This working guide outlines a pilot program to strengthen the University's efforts to recruit a more diverse academic workforce. The program was created through the initiative of the Commission on Women's Task Force on Diversity Among Academic Women. It is co-sponsored by the Commission and the Office of Equal Opportunity and Affirmative Action, and supports the faculty recruitment goals outlined in the University's Blueprint for Action (Office of the Associate Provost and Associate Vice President for Academic Affairs, 1989).

Elements of the program were developed through a series of in-depth interviews with people who have participated in University searches-- as candidates or as members of search committees that successfully recruited women or minority faculty and staff. George Caldwell of the Equal Opportunity office and Sharon Doherty, Nora Hall, and Janet Spector of the Commission conducted the interviews.

Goals

One purpose of this initiative is to improve the results of searches, to increase diversity at the University of Minnesota. A second is to help units promote the good reputation of the University by engaging in a fair process that is effective and satisfying, not just for the person hired, but also for other candidates and for members of the University community involved in the search.

Two themes run through the program outlined here:

- > To actively recruit minorities, and women in fields where they are underrepresented.
- > To provide a welcoming atmosphere for all candidates, including African American, American Indian, Chicano, Latino, Asian/Pacific American men and women, gays, lesbians, and people with disabilities.

A NOTE ABOUT LANGUAGE: We present in this working guide our best efforts at respectful, accurate language, knowing that no word can fully express the complexity of groups, or of individual people.

We use the word "minorities" as a general term to include members of racial ethnic groups currently in the minority in the U.S.: African Americans, American Indians, Chicanos/Latinos, Asian/Pacific Americans. We recognize that even these more specific terms are still generalized categories that do not take into account group diversity.

Program Description

This program presents an active, positive approach to recruiting and hiring a more diverse faculty. The Commission on Women's Diversity Task Force and the Equal Opportunity/Affirmative Action Office will work together with departments and their search committees to develop strategies tailored to local circumstances. We will focus on issues of diversity as they relate to the following key elements of a faculty search:

KEY ELEMENTS IN SEARCHING FOR DIVERSITY

-
1. Assessing the Local Climate and Laying the Groundwork for a Successful Search
 2. Selecting a Well Qualified Search Committee Chair and Members
 3. Outlining The Charge to the Search Committee
 4. Developing Diversity-Sensitive Position Descriptions
 5. Searching Actively to Identify and Maintain a Diverse Pool of Well Qualified Candidates
 6. Identifying the Top Candidates
 7. Planning and Informing Candidates About Campus Interviews and Twin Cities Visits
 8. Effective Recruiting During Campus Visits
 9. Evaluating Finalists
 10. Negotiating Terms of Employment and Extending Offers
 11. Orienting New Faculty and Staff to Our Communities
-

We will provide the following materials as search resources:

Written Guidebook material and checklists covering the key facets of the search process. The guidebook will include workshop and discussion ideas for search committees and/or unit members for use at various points in the search process.

Multicultural Guide to Twin Cities Communities including professional organizations and networks, restaurants, neighborhoods, theaters, food stores, bookstores, etc.

Roster of university and community "consultants" willing to serve as resource people and participants in searches to help attract and recruit candidates at various points in the search process.

We hope to further revise this program in response to the ideas and reactions of pilot participants. Please keep in mind that this working guide is a draft, and that we are interested in providing those workshop exercises and resources that participants find most useful.

1. ASSESSING THE LOCAL CLIMATE AND LAYING THE GROUNDWORK FOR A SUCCESSFUL SEARCH

Before the search process is initiated, it is critical that the department assess its climate with respect to diversity, and--given current strengths and limitations-- examine opportunities for recruiting. Ideally, this assessment should be done before the position description is finalized and before search committee members are appointed.

EXAMPLE: QUESTIONS OR DISCUSSION TOPICS TO IDENTIFY UNIT STRENGTHS AND WEAKNESSES FOR RECRUITING PEOPLE FROM CURRENTLY UNDERREPRESENTED GROUPS

What is the current composition of your unit? i.e how many men and women of different groups are in your unit? faculty? students? staff? alums?

Are there colleagues in other departments within the university or in other Twin Cities colleges with professional links to the unit who might participate or assist in the search?

What professional networks (colleagues at other Universities etc.) can you activate now? Who can you contact in the field to learn about other networks?

{continued next page}

What universities have had strong graduate/professional programs and records with respect to awarding PhD's to women and minorities, disabled people, gays and lesbians, etc.

What fields of specialization have the greatest number of women and minorities?

How much experience do people in our unit have working in multicultural settings?

What current research, teaching or other diversity-related projects are on-going or planned?

What are the prevailing attitudes, tensions or disagreements about affirmative action, broadly defined?

How can tensions or conflicts be addressed before the search process begins?

Then, we will provide a menu of resources for departments to select under varying environmental circumstances:

Example: If there are no women or members of minority groups in your unit, we may be able to provide assistance to:

- >Locate people on campus who can help activate professional networks for national recruitment

- >Identify local professional contacts and potential participants in campus interviews and other search events

- >Provide assistance in collecting data about diversity opportunities within disciplines and subfields (e.g. provide national survey information on subfields that have and have not matriculated women and minority professional degrees)

Example: If the self-survey indicates inexperience or tension about diversity in the context of recruitment, we can suggest workshop/discussion programs on topics like:

- >How diversity will strengthen the unit

- >Success models for recruiting different groups

- >Developing position descriptions to attract a wider pool of candidates

2. SELECTING A WELL QUALIFIED CHAIR AND COMMITTEE MEMBERS

Search committees interested in recruiting women and members of minority groups need effective leadership from the chair, and balanced representation of committee members. This requires explicit definition of selection criteria.

EXAMPLE:

Qualifications for Committee Chairs

- > a highly regarded senior faculty member
- > a person who has the respect of diverse constituencies
- > a person who has experience in searches that have successfully recruited women and minorities
- > a person who is acquainted with and supports gender-inclusive, multicultural scholarship
- > a person knowledgeable about affirmative action, broadly defined

Search Committee Composition and Qualifications

>Every effort should be made to appoint well balanced search committees in terms of gender, race and other aspects of diversity (balance does not mean one minority person or one woman); it also is important not to overburden women and minority faculty and staff with committee service

>If balance is not possible, people should be appointed who are able to represent the interests of diverse constituencies effectively, regardless of their own gender or cultural background (workshop potential)

>If the intent is to recruit for diversity, people who have actively resisted efforts to diversify the University should not be appointed to the committee (This is to distinguish between inexperience and active resistance)

>Members of the search committee should have participated in the unit self-survey process (see #1)

3. THE CHARGE TO THE SEARCH COMMITTEE with respect to affirmative action and diversity, broadly defined.

It is important for this to extend beyond discussions of search procedure rules, regulations and legal requirements. **A search consultant can lead the group in one or more of the following workshop/discussions:**

- A. How unconscious (as well as conscious) stereotypes can affect recruitment and screening

{continued next page}

B. Dispelling myths that get in the way of recruiting a diverse workforce (from Achieving Faculty Diversity, a U-Wisconsin publication):

- "They aren't the best qualified."
- "There aren't any out there."
- "They'll want astronomical salaries."
- "They wouldn't want to live here."
- "We're already doing everything we can."

C. How the committee itself can operate with diversity in mind-- creating an atmosphere where people's views can be heard and respected; where invisible differences are assumed to be present; where conflicts or disagreements can be voiced

4. DEVELOPING DIVERSITY-SENSITIVE POSITION DESCRIPTIONS

Position descriptions can signal the University's values and commitments about diversity.

EXAMPLES of Statements to Include in Position Descriptions

"The department of X encourages the candidacy of people interested in women's studies and multicultural scholarship"

"The department of X particularly encourages the candidacy of people with research and teaching experience in multicultural, multi-racial settings"

"The U of M recognizes that the future of the nation and of its higher education system depends on our abilities to educate a diverse student body to assume active roles in a multiracial, multicultural world. We welcome applications from African American, American Indian, Latino, Asian/Pacific American men and women, gays, lesbians and people with disabilities"

"The U of M strives to provide humane and productive work environments for men and women from varying racial, ethnic and national backgrounds and varying family circumstances."

"Information about this position, the U of M, and the Twin Cities community can be made available in braille and on audio tape"

"The U of M is committed to meeting its obligations to provide access to its facilities and programs. Accommodations are available upon request."

5. SEARCHING ACTIVELY TO IDENTIFY AND MAINTAIN A DIVERSE POOL OF WELL QUALIFIED CANDIDATES

This step requires both written advertising and personal contacts with colleagues at the University and at other institutions to activate different networks.

Resources for this step might include:

>Presentation of some cautionary tales about strengths and limitations of search firms, esp. with respect to women and minorities (e.g. inappropriate calls at work; too many changes in personnel)

>Presentation of some local or national success models for activating professional networks

>Current lists of caucuses or sub-groups within professional organizations and group-specific publications

NOTE: There should be opportunities among committee members for discussion of effective recruitment strategies early in the process, i.e. after candidates have been identified but before screening the pool.

Example: A panel of people who have participated in successful searches might come in to lead discussion about:

> How to approach women and minority candidates in terms of their specific qualifications for positions to avoid impressions of tokenism.

> The importance of communicating with candidates throughout the search process, letting them know materials were received and informing them about the timetable for the process.

>Identifying people within the University community who might make some calls or contacts with people in their networks.

6. IDENTIFYING THE TOP CANDIDATES It is crucial to keep qualified women and minorities in the pool, i.e. avoiding premature elimination from the pool. Here are some things to do or discuss related to evaluation of candidates' files:

>At the outset, before evaluating any applicants' materials, **establish explicit criteria for eliminating candidates from the pool**

{continued next page}

>**Evaluating candidates' career paths and timetables in completing degrees** - avoid disadvantaging people who have "stopped out" of degree programs for awhile; take into account things like having children, getting particular kinds of training, acquiring a disability, etc. (to be included in case study material)

>**Giving Weight to Diversity-related Qualifications** If you encouraged the candidacy of people interested in women's studies and/or multicultural scholarship, be sure to follow up and count those qualifications in the screening process for all candidates (not just women and minorities).

>**Differential Screening** - In some fields or for some positions you may need to screen white U.S. men differently than women and minorities, in order to counter the effects of limited opportunities at some institutions

e.g. identify programs and/or institutions that have provided good opportunities for women and minorities (administrative, Ph.D., post-doctoral training etc.), and

avoid privileging institutions that have traditionally provided very few opportunities for women and minorities

>**Stereotyping** - It is important to minimize the effects of our unconscious (and conscious) stereotypes in screening candidates.

Possible Workshop Opportunities:

>A version of the stereotyping exercise George Caldwell developed for the "Building Cultural Bridges" program. Participants are asked to list the stereotypes that come to mind when they think of particular groups, then discuss the implications of such stereotypes in the context of searches.

>Committee members could evaluate some hypothetical application materials (letters of recommendation, letters of application, c.v.'s) and compare people's responses to different genders, surnames indicating different ethnicity, etc.

7. PLANNING AND INFORMING CANDIDATES ABOUT CAMPUS INTERVIEWS AND TWIN CITIES VISITS - The way the unit presents itself, the University, and surrounding communities during campus visits can have a significant impact on the outcome of the search.

{continued next page}

Ideas about Planning Campus Visits

A. Candidates should have some voice in the scheduling and logistics of their visit. In advance of their trip to the Twin Cities, they should receive, in writing:

- information about the interview process and about the scholarly interests of people they will be meeting

- information about the unit, the campus, and the Twin Cities community

B. Prior to the interview, someone should call candidates to ask if they would like to add any other appointments or tours, based the materials they were sent.

C. It is important to ask if the proposed schedule presents any problems or if people have any particular needs. **Ask questions like these of all candidates:**

- do you need a slide projector, microphone, video equipment, portable ramp?

- if you require disability-related accommodations (e.g. transportation), please feel free to request them

- do you have any dietary restrictions or strong food preferences?

D. Be sure that candidates have the opportunity to meet potential intellectual and professional colleagues in other units and at various points during their visit;

E. Anticipate and prevent unnecessary awkward situations or comments that can skew the interview dynamics

- restaurant inaccessability or inconvenience for disabled people

- speaking to or having a meal with an entirely white, male group

- facilitative but inappropriate conversations about families, inappropriate remarks and jokes, etc. etc.

8. **EFFECTIVE RECRUITMENT DURING THE VISIT:** - organizing the campus interviews and meetings and introducing people to the local community (potential for case study examples in this area)

{continued next page}

More Ideas about the Campus Visit

- A. Do not render the Twin Cities and Minnesota women's and minority communities invisible. For example:
 - Avoid impressions that Minnesota is Lake Wobegon
 - If the unit is all male or all white, be sure to provide opportunities for professional networking outside the unit
- B. Don't make any assumptions about whether or not members of various minority groups would want to come here (e.g. because of lack of tolerance for the weather, absence of communities to relate to, etc.)
- C. Don't anticipate or assume what people with certain disabilities are and are not able to do. Ask.
- D. Without asking inappropriate questions about family circumstances, let candidates know we can provide assistance and information about schools, opportunities for partners, childcare or eldercare etc. Be inclusive in language about family.

9. EVALUATING AND RANKING FINALISTS

Many of the same issues as in Step 6 arise in this part of the search as well. An additional consideration is the "comfort" factor. Often the selection and ranking of finalists involves subtle judgments about who might best "fit in" in a unit.

As long as those evaluating candidates come from a homogeneous group, they may feel most comfortable and confident about the experiences and styles of people like themselves. "Comfort level" or appearance of a "good fit" may undermine efforts to recruit members of underrepresented groups.

10. NEGOTIATING TERMS OF EMPLOYMENT AND EXTENDING OFFERS

Retention efforts for members of underrepresented groups begin here. All prospective employees should receive the same information about what the University can offer. The University representative should:

- let everyone know what the boundaries are (salary, teaching load etc.; is there flexibility or not?)

- take care not to add on to the job because a person expressed interest in women's or ethnic studies program -- e.g. suddenly the job expands in focus & expectation

{continued next page}

--not make assumptions about people's interests in ethnic and women's studies (e.g. she's x, of course she'll be interested in and expected to participate in x Studies)

--if providing "assistance" with respect to spousal employment, child care etc., extend to domestic partners, eldercare, etc. etc.

11. TOWARD EFFECTIVE ORIENTATION TO THE UNIVERSITY CULTURE AND COMMUNITIES

When new faculty/staff arrive at the University, orientation activities should be offered in their department and college, as well as centrally, so that everyone has the opportunity to become familiar with institutional expectations, demands, networks, and opportunities.

Pilot Program Meetings and Workshops

This pilot program will be implemented in four meetings, with different groups involved in the search process:

> First, a team of search consultants from the Commission on Women and the Office of Equal Opportunity will meet with **deans, department chairs, and EEO officers from the units participating.** We will present an overview of the program, and discuss elements one through four from the above outline.

> Next, a search consultant will work with each department individually on its unit assessment (see "Assessing the local climate and laying the groundwork for a good search", above), in a **department meeting/workshop.** The department chair should be in this meeting, along with as many department members as possible.

> The **pilot group of search committees will meet together, in a two hour workshop** (probably 5-7 pm with dinner). The chair and at least two other members of each search committee should attend. We will focus on elements five through seven from the outline.

> **Each of the pilot hiring departments will meet** prior to candidate interviews and campus visits. All those who will have a voice in the hiring decision should attend. The focus will be on the last four elements of the search process.

October 1990

University of Minnesota
RECRUITING FOR DIVERSITY PILOT PROJECT

CREATING CLIMATES THAT VALUE DIVERSITY

Purpose: The overall goal of this pilot project is to work with search committees and departments to strengthen recruitment efforts with respect to increasing faculty diversity.

A crucial first step for departments interested in recruiting women, people of color or others currently under-represented in their ranks, is to get some sense of their local environment and the relationship between that environment and the search process. It is difficult to improve or enhance the departmental climate without some open discussion about prevailing conditions.

The following set of questions can help stimulate productive discussions about the department climate for diversity. Following some analysis on your part, the results can be used to strategize about search and recruitment strategies that will capitalize on strengths and help overcome barriers or weaknesses.

ENHANCING OUR ABILITIES TO RECRUIT A MORE DIVERSE FACULTY
Some Questions for Departmental Consideration

1. Identify some of your *individual* interests, talents, skills, and experiences that might help contribute to a positive recruiting climate for women, people of color or members of other under-represented groups, i.e. how can you help create a department environment receptive to diversity?

2. How would you characterize the strengths or positive aspects of our **department** and its overall environment? e.g. particular curricular or research programs? a good sense of departmental community? high morale? support for innovative teaching and research? good information networks about research and educational development funding sources? scholarly networks with people in other departments or institutions? etc. etc.

How can these help create a climate that accepts and values diversity?

(over)

3. How would you characterize your own limitations or weaknesses in terms of creating a department climate that accepts and values diversity?

4. How would you characterize departmental limitations or weaknesses in terms of the climate for diversity?

FOR DEPARTMENT CONSIDERATION: Given our individual and collective responses to the questions above, what specific search and recruiting strategies should we adopt to capitalize on our strengths and offset our limitations with respect to increasing diversity?

RECRUITING FOR DIVERSITY: A PILOT PROJECT
ACTIVE RECRUITING
A Checklist

Active recruiting on the part of search committee members and other members of the department is an essential step in developing and maintaining a diverse candidate pool. Here is a checklist of some things to consider doing before the deadline for applications:

Have you:

___ asked members of the department to call colleagues at other universities to see if they know of women and minority candidates who might be qualified for and interested in the position?

___ called or sent the full position description to women's and minority caucuses of professional organizations (contact Janet Spector for directories)?

___ engaged local networks of people in related fields at the University or Twin Cities area colleges, corporations, businesses to see if they know of potential candidates?

___ done a survey of departments at other universities to see which of them has a strong record of awarding PhD's to women and minorities?

___ contacted relevant professional organizations for any rosters of women and minority PhD's in the field?

___ had a discussion in a department or search committee meeting to brainstorm other active recruiting strategies?

For Pilot Project Workshop
November 20, 1990, 3:30 - 5:30
East Wing Campus Club

University of Minnesota
RECRUITING FOR DIVERSITY PILOT PROJECT

DIVERSITY SENSITIVE SCREENING CRITERIA
Maintaining Diversity in the Candidate Pool

A Note About Quality and Diversity - Many searches start off with qualified women and minority candidates in their pools. Without careful deliberations about selection criteria, they may be prematurely eliminated from the pool and the list of "top candidates" will be exclusively white and male. This might be the result of a screening process that inadvertently privileges white men. Even if you go back into the pool to re-consider -- and eventually include women and minority candidates the recruitment environment may suffer.

Two things can occur. First, candidates often learn that the original pool of top people did not include them. No one wants to be included only on the basis of race or gender. Second, reaching back into the pool can lead to cynicism among search committee members. Some will feel that quality has been sacrificed for social engineering. Either of these can taint campus visits and interviewing, and have a negative impact on the outcome of the search.

FOR SMALL GROUP DISCUSSION

Assume your search committee has narrowed the pool of candidates from 50 to 25. The search committee is now ready to draw from among those, the top ten for possible campus interviews. The majority of candidates are white males, but there are some women and minorities in the group of 25.

All 25 candidates meet the qualifications for the position (e.g. PhD in a relevant field, some teaching experience, some scholarly publications). A search committee meeting has been called to define screening criteria to be used to narrow the pool down to ten. Suppose the following set of criteria have been proposed by members of the committee (see next page).

QUESTION: Which of the proposed screening criteria would you include and which would you exclude with diversity in mind? How would you modify any or all of them as needed to avoid premature elimination of women and minorities from your pool? Are there other criteria you would propose? Explain the rationale for your decisions.

(over)

A Hypothetical List of Screening Criteria

1. That screening be done on the basis of **degree granting institution**, i.e. people with degrees from the "most prestigious" institutions should be ranked higher than those holding degrees from other universities.
2. That people who publish in **mainstream, disciplinary, refereed journals** be given priority over those who have not.
3. That **single authorship or first authorship** of articles, books, etc. be counted more than joint publications and/or other collaborative work.
4. That candidates who have made "**timely progress toward degree completion** (or moved through other professional tracks) be preferred over people with slower progress or interrupted progress toward degree completion.
5. That people with teaching, research or other professional **experience in multicultural settings** be preferred over those without such experience.
6. That candidates with professional activity in "**the basic**" disciplines be given higher ranking than those in "applied" fields.
7. That **collegiality** i.e. ability to "fit into" the department culture and community be considered in ranking.
8. That **quantity of scholarly publications** be given more weight than other evidence of scholarly productivity like presentations at conferences, workshops, professional meetings
9. That "**cutting edge**" scholarship be preferred over more traditional scholarly work.
10. That people with all **degrees from the same University** be ranked lower than those holding graduate and undergraduate degrees from different institutions.

**University of Minnesota
RECRUITING FOR DIVERSITY PILOT PROJECT**

*PLANNING CAMPUS VISITS
A Checklist*

The way units present themselves, the University and the Twin Cities community when candidates are brought to campus for interviews can have a significant impact on the outcome of the search. Here is a checklist of some things to consider in organizing and scheduling candidate visits.

Have you:

- ___ Sent candidates information about the proposed schedule of events, who they will be meeting, speaking to, having meals with etc.?
- ___ Communicated clearly what your expectations of the candidates are during the campus visit? (e.g. distinguish "social" events vs. more formal parts of the interview; let them know who is likely to attend various events and how many people at each; what audience to expect at their colloquium, etc.)
- ___ Sent candidates information about the Twin Cities, including information about multicultural community organizations, resources and networks? (see "Multicultural Guide to the Twin Cities" developed for this project)
- ___ Conveyed information to candidates about travel arrangements, reimbursements, hotel or other accommodations?
- ___ After sending information, contacted candidates to see if they have any questions or requests about the logistics or scheduling of events (e.g. are there other scholars in related fields they would like to meet? Do they want to see particular neighborhoods, visit community organizations etc. etc.?)
- ___ Asked **all** candidates if they have any particular equipment or other needs for their presentations or other facets of the visit -- e.g. microphone, slide project, portable ramp, podium etc.? *Let people know it is appropriate to ask for particular kinds of accommodations (e.g. transportation, wheelchairs, smoke-free rooms, food choices, etc. etc.).*
- ___ Invited potential colleagues in other departments, at other local colleges and universities, or in the community to attend events during the campus visit?

{continued on reverse side}

___ Anticipated potentially awkward situations that might skew dynamics during the visit?

--is the restaurant inaccessible or inconvenient for people with disabilities?

--is the group attending some event entirely white? male?

--do people in your unit use humor and small talk appropriately? Do they need to be reminded about inappropriate questions and remarks about family or other personal circumstances?

Some Other Things to Consider in Organizing Campus Visits

1. Don't render the Twin Cities minority and women's communities invisible. Despite common stereotyping, this state is not populated exclusively by people of Scandanavian descent.
2. Don't make assumptions about whether or not members of specific groups would want to come here because of Minnesota's cold winters, demography, or Lake Wobegan image.
3. Don't make assumptions about what people with certain disabilities can and can not do -- ask them about transportation needs, room or other accommodations etc.
4. Without asking inappropriate questions about family circumstances, let all candidates know that we can provide assistance and information about schools, childcare or eldercare, employment opportunities for partners, etc. Be inclusive in thinking about "family."

V. APPENDIX

B. FORMS

President Form 16, Description of Available Academic
Position at the University of Minnesota
12/89

President Form 16 for Acting Appointment (sample)

President Form 16 for Multiple Hires (sample)

President Form 17, Summary of the Affirmative Action
Process Assuring Equal Employment Opportunity in
Academic Appointments
10/89

President Form 20, Racial/Ethnic Group Identification
University of Minnesota
9/87

President Form 24, Applicant Tracking Record for
Academic Employment, with sample letter
8/89

Applicant Pool Checklist

Recruitment Contact Sheet

C. REPORTS

Data/Reports - For Reviewing/Approving Pools on Form 17
Equal Opportunity/Affirmative Action
11/90

FCE00-8, Academic Workforce Analysis for Faculty by
Department
Run Date: 1/8/90

FCE012-1, Academic Availability Analysis for Faculty by
Department
Run Date: 1/8/90

FCE014-1, Academic Utilization Analysis and Goals for
Faculty by Department
Run Date: 1/8/90

FCE047-1, Hiring Plan Supplement for Faculty Searches
Report Date: 1/23/90

FCE0123-1, Faculty Employment Profile by Department
Report Date: 1/23/90

Goals for Academic and Administrative (P/A) Positions

Goals for Academic and Administrative (P/A) Positions

D. POLICY/MEMORANDA

Pre-Employment Inquiries

Equal Employment Opportunity Commission
8/81

Procedures for Reviewing the Performance of Probationary Faculty

6/86

The Nomination Process

Patricia Mullen, University Equal Opportunity Officer
5/26/87

"It's All in What You Ask - Questions for Search Committees to Use"

Association of American Colleges
2/88

Student Representation on University Committees

Richard J. Sauer, Interim President
9/2/88

EEOC Nondiscrimination Policy under Title VII and the Immigration Reform and Control Act of 1986

Patricia Mullen, Director and University Equal Opportunity Officer and
Barbara Shiels, Associate University Attorney
5/4/88

University of Minnesota's Equal Opportunity Statement

Patricia Mullen, Director and University Equal Opportunity Officer
9/89

Affirmative Action Program for the Handicapped and Disabled Veterans and Veterans of the Vietnam Era

1/90

Hiring ABD ("all but dissertation") Applicants

Carol Carrier, Associate Vice President for Academic Affairs
8/2/90

Search Committee Guidelines

Approved by University Senate
Amended 5/14/87

Women Academic Employees Policy Statement
University Senate Minutes
4/19/90

Explanation of: 1) Goals and Timetable for Faculty; 2)
Hiring Plan Supplement for Faculty Searches; and 3)
Availability Data for Faculty
Patricia Mullen, University Equal Opportunity Officer
2/6/90

Sexual Orientation or AIDS Discrimination Executive Order
No. 86 - 14
Rudy Perpich, Governor of Minnesota
11/19/86

Equal Employment Opportunity is the Law
U.S. Equal Employment Opportunity Commission

Minority and Women Doctoral Directory Ordering Information
9/90

CIC Directory of Minority Ph.D. Candidates and Recipients
Ordering Information
1990

National Network of Women's Caucuses and Committees in the
Professional Associations

E. APPENDIX

Guidelines for Academic Searches: Summary of Approval Steps

DESCRIPTION OF AVAILABLE ACADEMIC
POSITION AT THE UNIVERSITY OF MINNESOTA

FORM 16

Form 16 No. _____

This action is required pursuant to federal and University of Minnesota regulations on Equal Opportunity. This form is to be completed for all available academic positions. **All copies** are to be forwarded to the Office of Equal Opportunity and Affirmative Action (419 Morrill Hall, 624-9547) **prior to** instituting the recruiting and search procedures. For notification procedures of approval of this form, see item #1 on reverse side. **Before signing**, please see item #5 on reverse side.

THIS FORM MUST BE TYPEWRITTEN. NCR PAPER-No Carbon Required.

Parent Department
Name and Number _____ College _____ Campus _____
Number of positions: ☐ One ☐ Multiple hire- _____

Type of Position (see item 2 on reverse side).

| | | |
|---|-------------------------|----------------------------|
| Faculty | Administrative (93XX) | Minnesota Ext. Serv.(96XX) |
| <input type="checkbox"/> 9401 Professor | Title & Class No. _____ | Title & Class No. _____ |
| <input type="checkbox"/> 9402 Associate Professor | | |
| <input type="checkbox"/> 9403 Assistant Professor | Post-Doctoral (95XX) | Professional Staff (97XX) |
| <input type="checkbox"/> 9404 Instructor | Title & Class No. _____ | Title & Class No. _____ |

Type of Appointment (see reverse side of Notice of Appointment - BA Form 352C)

Term Code _____ Appointment Type _____ Percent time of
(Field EE on PAF-BA Form 615) Field FF on PAF-BA Form 615 Appointment
Brief description of teaching, research, development, and/or administrative responsibilities:

NOTE: To complete Form 16, refer to Guidelines for Academic Searches, STEP 3, A, Form 16 and attachments. Revised forms should be available from the General Storehouse in February, 1991.

Essential

~~Minimum~~ Academic Preparation _____

~~Essential Minimum~~ Experience _____

Salary Range _____

Last Day for Receipt of Application _____

Desired Academic Preparation _____

Desired Experience _____

Beginning Date of Appointment _____

Specify the search procedures to be utilized by the search committee in locating qualified candidates. ~~Is this position subject to advertising requirements of Consent Decree?~~ ☐ Yes ☐ No (See Item #2 on reverse side)

a. Advertising and Professional Organizations Contacted

b. Other

Names of Publications/Organizations _____ Date _____

c. Notification to Female Post-Docs and Ph.D. Recipients:

☐ Yes ☐ No

Search Committee:

Race/Sex/Status

Race/Sex/Status

(use codes in legend)

Appointed by: _____/_____/_____ Chair _____/_____/_____

Members _____/_____/_____ _____/_____/_____

_____/_____/_____ _____/_____/_____

_____/_____/_____ _____/_____/_____

RACE: (W)hite, (B)lack, (H)ispanic, (A)sian, (AI) American Indian; SEX: (M)ale, (F)emale;

STATUS: (F)aculty, (P/A) Staff, (CS) Civil Service Staff, (Stu)dent, (Other)

| | | |
|--|---|------|
| Person to whom application should be sent | Recommended-Department Head | Date |
| Department | Recommended-Unit Equal Opportunity Officer | Date |
| Room/Building | Approved-Dean/Administrative Officer | Date |
| Approved-Vice President for Academic Affairs | Approved-University Equal Opportunity Officer | Date |

DESCRIPTION OF AVAILABLE ACADEMIC
POSITION AT THE UNIVERSITY OF MINNESOTA

FORM 16

Form 16 No. _____

This action is required pursuant to federal and University of Minnesota regulations on Equal Opportunity. This form is to be completed for all available academic positions. **All copies** are to be forwarded to the Office of Equal Opportunity and Affirmative Action (419 Morrill Hall, 624-9547) **prior** to instituting the recruiting and search procedures. For notification procedures of approval of this form, see item #1 on reverse side. **Before signing**, please see item #5 on reverse side.

THIS FORM MUST BE TYPEWRITTEN. NCR PAPER-No Carbon Required.

Parent Department
Name and Number _____ College _____ Campus _____
Number of positions: ☒ One ☐ Multiple hire- _____

Type of Position (see item 2 on reverse side).

| | | |
|---|-------------------------------|----------------------------|
| Faculty | Administrative (93XX) | Minnesota Ext. Serv.(96XX) |
| <input type="checkbox"/> 9401 Professor | Title & Class No. <u>9360</u> | Title & Class No. _____ |
| <input type="checkbox"/> 9402 Associate Professor | | |
| <input type="checkbox"/> 9403 Assistant Professor | Post-Doctoral (95XX) | Professional Staff (97XX) |
| <input type="checkbox"/> 9404 Instructor | Title & Class No. _____ | Title & Class No. _____ |

Type of Appointment (see reverse side of Notice of Appointment - BA Form 352C)

Term Code A Appointment Type M Percent time of 100
(Field EE on PAF-BA Form 615) Field FF on PAF-BA Form 615 Appointment

Brief description of teaching, research, development, and/or administrative responsibilities:

Assume acting responsibilities for chairing the department (see attached job duties for chair)

Minimum Academic Preparation None
Minimum Experience Tenured Faculty
Salary Range 6% Augmentation

Desired Academic Preparation None
Desired Experience None
Beginning Date of Appointment October 29, 1990

Last Day of Receipt of Application October 19

~~Specify the search procedures to be utilized by the search committee in locating qualified candidates. Is this position subject to advertising requirements of Consent Decree? ☐ Yes ☐ No (See item #6 on reverse side.)~~

a. Advertising and Professional Organizations Contacted
Names of Publications/Organizations Date
Memo to all dept. faculty 10/15/90
& staff

b. Other

c. Notification to Female Post-Docs and Ph.D. Recipients. ☐ Yes ☐ No

| | | |
|---------------------------|--|--------------------------------|
| Search Committee: | Race/Sex/Status (use codes in legend) | Race/Sex/Status |
| Appointed by: <u>Dean</u> | Chair <u>Mary Smith</u> | <u>W</u> / <u>F</u> / <u>F</u> |
| Members _____ | <u>John Jones</u> | <u>B</u> / <u>M</u> / <u>F</u> |
| _____ | <u>Jim Clark</u> | <u>W</u> / <u>M</u> / <u>F</u> |
| _____ | <u>(all are members of dept.)</u> | |

RACE: (W)hite, (B)lack, (H)ispanic, (A)sian, (AI) American Indian;
STATUS: (Fac)ulty, (P/A) Staff, (CS) Civil Service Staff, (Stu)dent, (Other)

SEX: (M)ale, (F)emale: personnel committee

| | | |
|--|---|-----------------|
| Person to whom application should be sent | Recommended-Department Head | Date |
| Department | Recommended-Unit Equal Opportunity Officer | Date |
| Room/Building | <u>Deb Collins</u> | <u>10/25/90</u> |
| Phone No. | Approved-Dean/Administrative Officer | Date |
| Approved-Vice President for Academic Affairs | <u>Henry Black</u> | <u>10/25/90</u> |
| Date | Approved-University Equal Opportunity Officer | Date |
| <u>Carol Carrier</u> | | |
| <u>10/26/90</u> | | |

This letter is a sample.
It would constitute the "ad"
for an acting position.

Monday, October 15, 1990

TO: Colleagues

FROM: _____, Dean,

RE: Appointment of acting head of _____ department

As you know, _____, has been selected to a critical government post and will be on a leave of absence for at least a year. She will be leaving in two weeks and it is necessary to appoint an acting person with dispatch.

If you are interested in this assignment, please let me know by phone or in writing no later than Friday at 4:30. It is not necessary to provide me with any written materials unless you wish to supplement what is available to me in your personnel file.

I will be consulting with the departmental personnel committee before making this decision. Aside from your willingness to serve, the only other "must" for this assignment is membership in the tenured faculty of the department and some previous administrative or leadership experiences.

I am sending this communication to all eligible persons in the department, as well as to others who may wish to encourage candidates to make their interest known. Since time is so short, I encourage you to contact prospective candidates directly instead of nominating them to me.

As I hope you know, I am eager to continue the implementation of our affirmative action plans and to make the statement on the bottom of this letter a reality.

PAM:bhm

The University of Minnesota is an equal opportunity educator and employer.

DESCRIPTION OF AVAILABLE ACADEMIC
POSITION AT THE UNIVERSITY OF MINNESOTA

Form 16 No. **CE 741**

This action is required pursuant to federal and University of Minnesota regulations on Equal Opportunity. This form is to be completed for all available academic positions. All copies are to be forwarded to the Office of Equal Opportunity and Affirmative Action (419 Morrill Hall, 624-9547) prior to instituting the recruiting and search procedures. For notification procedures of approval of this form, see item #1 on reverse side. Before signing, please see item #5 on reverse side.

THIS FORM MUST BE TYPEWRITTEN. NCR PAPER-No Carbon Required.

Parent Department VoTech Education # 3020 College Education Campus St. Paul
Name and Number
Number of positions: ☐ One ☒ Multiple hire-

Type of Position (see item 2 on reverse side).
Faculty Administrative (93XX) Minnesota Ext. Serv.(96XX)
☐ 9401 Professor Title & Class No. Title & Class No.
☐ 9402 Associate Professor
☐ 9403 Assistant Professor Post-Doctoral (95XX) Professional Staff (97XX)
☐ 9404 Instructor Title & Class No. Title & Class No. 9753 Lecturer

Type of Appointment (see reverse side of Notice of Appointment - BA Form 352C) **Multiple Hire**
Term Code C Appointment Type K Percent time of
(Field EE on PAF-BA Form 615) Field FF on PAF-BA Form 615) Appointment 25-100
Brief description of teaching, research, development, and/or administrative responsibilities:

To teach courses on campus in the areas of agricultural education, business & marketing education, home economics education, industrial education, vocational education, and special education & administration applied to Vocational educator's needs. Assist in other instruction related activities to include advising & instructional development relative to the courses taught.

per J. Lambrecht / ab
area Related 7/26/90
Voc. Ed. or to nature of specific instru.
Desired Academic Preparation responsibilities
Desired Experience 7/1/90
Beginning Date of Appointment

Ph.D in area related to
Minimum Academic Preparation Voc. or related instru.
Minimum Experience activities
Salary Range Commensurate w/exp.

Last Day for Receipt of Application 6/30/91

Specify the search procedures to be utilized by the search committee in locating qualified candidates. Is this position subject to advertising requirements of Consent Decree? ☐ Yes ☒ No (See Item #3 on reverse side.)

a. Advertising and Professional Organizations Contacted

b. Other

Names of Publications/Organizations Date
Posting in College of Education office 7/90

The Search Committee will consist of
Div. Heads & Dept. Chair

Posting in Dept. of Voc. & Tech Ed. offices 7/90

Announcement mailing to MN state Dept. of Education 8/90

Announcement mailing to AVTIS & Local Voc. Administrators 8/90

c. Notification to Female Post-Docs and Ph.D. Recipients: ☐ Yes ☒ No

| | | |
|---------------------------|--|-----------------|
| Search Committee: | Race/Sex/Status (use codes in legend) | Race/Sex/Status |
| Appointed by: George Copa | Chair Jerry Moss | |
| Members: Edgar Persons | Charles Hopkins | |
| Jerry McClelland | | |
| David Pucel | | |

RACE: (W)hite, (B)lack, (H)ispanic, (A)sian, (AI) American Indian: SEX: (M)ale, (F)emale:
STATUS: (Fac)ulty, (P/A) Staff, (CS) Civil Service Staff, (Stu)dent, (Other)

| | | |
|--|---|---------------------|
| Person to whom application should be sent George Copa | Recommended-Department Head | Date |
| Department Vocational & Technical Education | Recommended-Unit Equal Opportunity Officer | Date <u>7-23-90</u> |
| Room/Building 210 Votech Building 624-1221 | Approved-Dean/Administrative Officer | Date <u>7-23-90</u> |
| Approved-Vice President for Academic Affairs | Approved-University Equal Opportunity Officer | Date <u>7/24/90</u> |

HIRING PLAN APPROVED

7-24-90 JWW

POSITION

7/1/90

1990-1991

VoTech #6

BLANKET POSTING

LECTURER POSITION

Sponsored by the Department of Vocational and Technical Education, College of Education, University of Minnesota

POSITION:

25% - 100% Lecturer Position
July 1, 1990 - June 30, 1991

RESPONSIBILITIES:

To teach courses through regular day school on campus in the areas of agricultural education, business & marketing education, home economics education, industrial education, vocational education, special education and administration applied to vocational educator's needs.

QUALIFICATIONS:

Ph.D. in an area related to vocational education or related to specific instructional responsibilities. Experience in instructional activity related to vocational education.

SALARY:

Commensurate with education and experience.

**APPLICATION
PROCEDURES:**

There are no set dates for recruitment. Reference VoTech #6 and send a letter of interest and vita to:

transcripts
Dr. George Copa, Chairperson
Department of Vocational and Technical Education
210 Vocational & Technical Education Building
1954 Buford Avenue
St. Paul, Minnesota 55108

The last day for receipt of applications is 6/30/91.

The University of Minnesota is an equal opportunity educator and employer and specifically invites and encourages applications from women and minorities.

Position contingent on receipt of external funding.

ANNOUNCEMENT

**Department of Vocational and Technical Education
College of Education • University of Minnesota**

**SUMMARY OF THE AFFIRMATIVE ACTION PROCESS
 ASSURING EQUAL EMPLOYMENT OPPORTUNITY
 IN ACADEMIC APPOINTMENTS**

FORM 17

Form 17 No. _____
 (See Item 1 on reverse side)

This action is required pursuant to federal and University of Minnesota regulations on Equal Opportunity. This form is to be reviewed by the Dean and Collegiate Equal Opportunity Officer and must be approved by the Office of Equal Opportunity and Affirmative Action and Academic Affairs **before any offer** of academic employment can be extended to a candidate. (See item No. 1 on reverse side for explanation of approval procedures.) **All copies** are to be forwarded to the Office of Equal Opportunity and Affirmative Action (419 Morrill Hall, 624-9547). **This form must be typewritten.** NCR PAPER—No Carbon Required.

| | | | | | |
|--------------------------------|-----------|---------------------|---|-----------|--------------|
| Candidate Name | | Title | Class | Term Type | Percent Time |
| Parent Department | Dept. No. | Title (No. 2) | Class (No. 2) | Term/Type | Percent Time |
| College or Administrative Unit | | Salary Base or Rate | Appointment Period From _____ To _____ | | |

A. Search Procedure

1 Search Committee Chairperson

2 Female and minority candidates were sought by:

a. Advertising and Professional Organizations Contacted
(list only if different from Form 16)

b. Notification to Female Post-Docs and
Ph.D. Recipients:

☐ Yes ☐ No

B. Pool of Applicants and Candidate Selected: (Refer to Directions on reverse side, No. 3)

| White | | Black | | Hispanic | | Asian | | American Indian | | Total | | Total | Female % of Total |
|-------|---|-------|---|----------|---|-------|---|-----------------|---|-------|---|-------|-------------------|
| M | F | M | F | M | F | M | F | M | F | M | F | | |

1. All Applicants

2. Qualified Applicants

3. Applicants Referred
Interviewed

4. Applicants Interviewed
Referred

5. Applicants Referred
Candidate Selected

6. Candidate Selected

C. Unless the candidate selected, line B,5, is female or minority, specify reasons for non-selection of all female and minority applicants. (Refer to Directions on reverse side, No. 4, b.)

NOTE: To complete Form 17, refer to Guidelines for Academic Searches, STEP 6, (5), Search Committee's Interim Report and STEP 8, D, the Form 17 attachments - checklist. Revised forms should be available from General Storehouse in February, 1991.

D. If another candidate has declined this position, please state their name, reason given (use attachment), and date that the Form 17 was approved by the University Equal Opportunity Officer.

Date:

Name:

Position Offered? ☐ Yes ☐ No

E. State current department goals for this position and attach a copy. (Refer to Directions on reverse side, No. 5.)

Job Group

Female No. to goal

Minority No. to goal

I hereby certify that this individual has been nominated for appointment in accordance with University Equal Opportunity and Affirmative Action policies.

| | | | | |
|-----------------------------|-----------|------|---|------|
| Department Head | Phone No. | Date | Approved—Vice President for Academic Affairs | Date |
| Collegiate EEO Officer | Phone No. | Date | Approved—University Equal Opportunity Officer | Date |
| Dean/Administrative Officer | Phone No. | Date | | |



UNIVERSITY OF MINNESOTA RACIAL/ETHNIC GROUP IDENTIFICATION

THIS FORM MUST BE COMPLETED (BY THE EMPLOYEE, IF POSSIBLE) AND ATTACHED TO THE APPOINTMENT DOCUMENT FOR ALL NEW ACADEMIC, CIVIL SERVICE AND STUDENT EMPLOYEES EXCEPT THOSE APPOINTED WITHOUT SALARY.

This information is private as defined by the Minnesota Data Practices Act and will not be released to the public. It will be used only in a summary reporting format in compliance with Federal and State reporting requirements and implementation of University of Minnesota affirmative action policies. If an employee chooses not to complete this form, the University may acquire this information either by visual survey or from post-employment records, however, this may result in the collection, storage and reporting of erroneous information. This form will be destroyed after these data are entered on the computer.

The University of Minnesota is required to collect this information to comply with Federal and State record keeping and reporting requirements pursuant to Executive Order 11246, Revised Order No. 4, Section 503 of The Rehabilitation Act of Amendments of 1974, Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974, Title VII of the Civil Rights Act of 1964 and Minnesota Statutes, Section 363.073. Summary data, without names will be reported on the Higher Education Staff Information (EEO-6) report and in the University of Minnesota's Affirmative Action Program.

Name

Social Security No.

Department Name

SEX (Check one)

- ☐ M Male
☐ F Female

RACIAL/ETHNIC GROUP

(Check one)

- ☐ 0 White
☐ 1 Black
☐ 2 Asian or Pacific Islander
☐ 3 American Indian or Alaskan Native
☐ 4 Hispanic

U.S.A. CITIZEN/RESIDENT STATUS

(Check one)

- ☐ Y Citizen
☐ R Resident Alien
☐ A Non-Resident Alien

VETERAN STATUS (Check one)

- ☐ 1 Vietnam Era
☐ 2 Disabled—Vietnam Era
☐ 3 Disabled—Other Veteran
☐ 4 None of the above

DISABILITY/HANDICAP (Check one)

- ☐ Y Yes
☐ N No

RACIAL/ETHNIC CATEGORIES

(as defined by the Equal Employment Opportunity Commission)

WHITE: Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East (not of Hispanic origin).

BLACK: Persons having origins in any of the Black racial groups of Africa (not of Hispanic origin).

ASIAN OR PACIFIC ISLANDER: Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent or the Pacific Islands. This area includes for example, China, Japan, Korea, the Philippine Islands, and Samoa.

The Indian Subcontinent takes in the countries of India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan.

AMERICAN INDIAN OR ALASKAN NATIVE: Persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

HISPANIC: Persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

VIETNAM ERA VETERAN: A person who served on active duty for a period of more than 180 days, any part of which occurred between August 5, 1964 and May 7, 1975.

DISABLED VETERAN: A person entitled to disability compensation under laws administered by the Veterans Administration for disability rated at 30 per centum or more, or a person whose discharge or release from active duty was for a disability incurred or aggravated in the line of duty.

HANDICAPPED INDIVIDUAL: The Rehabilitation Act of 1973, as amended, defines a "handicapped individual" for the purpose of the program as any person who (1) has a physical or mental impairment which substantially limits one or more of such person's major life activities; (2) has a record of such impairments; or (3) is regarded as having such impairment.

The completion of this part does not constitute notification for purposes of accommodation.



UNIVERSITY OF MINNESOTA

Office of Equal Opportunity and Affirmative Action

Applicant Tracking Record For Academic Employment

Part I This section is to be completed by the University Hiring Department (see reverse side)

Form 16/17 Number _____ (insert number assigned to this search by the college)

(check all that apply)

Faculty (94XX):

- ☐ Tenured (P)
☐ Tenure-Trk (N)
☐ Temporary (T)

Academic Administrative/Professional (P/A)

- ☐ Administrative (93XX)
☐ Minnesota Extension Service (96XX)
☐ Professional Academic Staff (97XX)

☐ Post-Doctoral (95XX)

Part II This section is to be completed by the applicant (see reverse side)

The University of Minnesota is required to collect this information to comply with Federal and State record keeping and reporting requirements pursuant to Executive Order 11246, Revised Order No. 4, Section 503 of The Rehabilitation Act Amendments of 1974, Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974, Title VII of the Civil Rights Act of 1964 and Minnesota Statutes, Section 363.073. Summary data, without names, will be reported on the Higher Education Staff Information (EEO-6) report and in the University of Minnesota's Affirmative Action Program.

Applicant's Name (optional)

Sex (check one)

- ☐ M Male
☐ F Female

Racial/Ethnic Group (check one)

- ☐ 0 White
☐ 1 Black
☐ 2 Asian or Pacific Islander
☐ 3 American Indian or Alaskan Native
☐ 4 Hispanic

Veteran Status (check one)

- ☐ 1 Vietnam Era
☐ 2 Disabled—Vietnam Era
☐ 3 Disabled—Other Veteran
☐ 4 None of the above

Disability/Handicap (check one)

- ☐ Y Yes
☐ N No

Racial/Ethnic Categories (as defined by the Equal Employment Opportunity Commission):

White: Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East (not of Hispanic origin).

Black: Persons having origins in any of the Black racial groups of Africa (not of Hispanic origin).

Asian or Pacific Islander: Persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands and Samoa.

The Indian Subcontinent takes in the countries of India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim and Bhutan.

American Indian or Alaskan Native: Persons having origins in any of the original peoples of North America and who maintain cultural identification through tribal affiliation or community recognition.

Hispanic: Persons of Mexican, Puerto Rican, Cuban, Central or South America, or other Spanish culture or origin, regardless of race.

Vietnam Era Veteran: A person who served on active duty for a period of more than 180 days, any part of which occurred between August 5, 1964 and May 7, 1975.

Disabled Veteran: A person entitled to disability compensation under laws administered by the Veterans Administration for disability rated at 30 per centum or more, or a person whose discharge or release from active duty was for a disability incurred or aggravated in the line of duty.

Handicapped Individual: The Rehabilitation Act of 1973, as amended, defines a "handicapped individual" for the purpose of the program as any person who (1) has a physical or mental impairment which substantially limits one or more of such person's major life activities; (2) has a record of such impairments; or (3) is regarded as having such impairment.

The completion of this part does not constitute notification for purposes of accommodation.

INSTRUCTIONS

PART I. This section is to be completed by the University Hiring Department

This form should be sent to all applicants for full-time academic positions (75% to 100%) which have been approved on President Form 16, DESCRIPTION OF AVAILABLE ACADEMIC POSITION AT THE UNIVERSITY OF MINNESOTA. The department or college responsible for the search should send the Form 24 to each applicant upon receipt of application and may enclose a cover letter acknowledging receipt of the application, requesting other information to complete the application, and/or requesting other job-related information, as necessary.

Unless an applicant identifies by name, the Form 24 and affirmative action information must be kept separate from an individual's application file. However, summary information without names may be shared with the search committee. If an applicant has completed the Form 24 with name and affirmative action information, this form may be shared with the search committee, Collegiate EEO Officer, and appropriate University personnel who are charged with the responsibility of compliance with equal opportunity and affirmative action.

Upon completion of the search and selection process, **AND BEFORE A FORMAL OFFER CAN BE MADE TO ANY APPLICANT**, all applicant tracking forms must be submitted with the President Form 17, SUMMARY OF THE AFFIRMATIVE ACTION PROCESS ASSURING EQUAL EMPLOYMENT OPPORTUNITY IN ACADEMIC APPOINTMENTS. The information from both the applicant tracking form and Form 17 will be entered on the computer by the University Equal Opportunity Officer.

Please consult with your Collegiate Equal Opportunity Officer for internal guidelines on searches and the use of this applicant tracking form and Forms 16 and 17.

PART II. NOTICE TO APPLICANT REGARDING MINNESOTA GOVERNMENT DATA PRACTICES ACT

As an applicant for academic employment at the University of Minnesota, it is requested that you voluntarily complete the form on the reverse side. The University is collecting this information so that it can evaluate its search and recruitment procedures and its good faith efforts to consider qualified individuals including women, minorities and other protected class individuals.

Also, the University of Minnesota wishes to inform you of its commitment to hire and promote qualified individuals who are covered by the affirmative action programs for women, minorities, disabled veterans and Vietnam Era veterans. Current employees and applicants for employment who wish to be included under these programs may choose to self-identify at any time. Disabled individuals may also request an accommodation. These programs may be reviewed in the Office of Equal Opportunity and Affirmative Action between the hours of 8:00 a.m. and 4:30 p.m., Monday through Friday.

The information on the Form 24 is optional. You are not required to provide this information and failure to provide it will not affect the status of your application, **except that if you do not identify by name**, the University will not be authorized to release this information with your name to the hiring department for consideration under the appropriate affirmative action plan (AAP), and the University will not be required to collect additional information if you could have applied as an applicant under an appropriate AAP.

However, if you do not choose to identify by name, you are encouraged to complete the other information on the Form 24. These data are being collected at the direction of the University's Office of Equal Opportunity and Affirmative Action and will be used only in conformance with Federal, State of Minnesota and University of Minnesota Board of Regents Policies.

Should you have any questions concerning this request, please contact the Office of Equal Opportunity and Affirmative Action. Thank you for your cooperation and assistance. **PLEASE RETURN THE FORM USING THE PRE-ADDRESSED ENVELOPE ENCLOSED.**

EQUAL OPPORTUNITY STATEMENT

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation. In adhering to this policy, the University abides by the requirements of Title IX of the Education Amendments of 1972; by Sections 503 and 504 of the Rehabilitation Act of 1973; by Executive Order 11246, as amended; 38 U.S.C. 2012, the Vietnam Era Veterans Readjustment Assistance Act of 1972, as amended; and by other applicable statutes and regulations relating to equality of opportunity.

Inquiries regarding compliance may be directed to Patricia A. Mullen, Director, Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall, 100 Church Street S.E., University of Minnesota, Minneapolis, Minnesota 55455-0110, (612) 624-9547 or to the Director of the Office of Civil Rights, Department of Education, Washington, D.C. 20202, or to the Director of the Office of Federal Contract Compliance Programs, Department of Labor, Washington, D.C. 20210.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of the Dean

Institute of Technology
105 Walter Library
117 Pleasant Street S.E.
Minneapolis, Minnesota 55455

Office: (612) 624-2006
FAX: (612) 624-2841
EMail: infants@mailbox.mail.umn.edu.

November 6, 1990

Dear

The search committee has received your application for the position of Associate to the Dean for the Institute of Technology, and we will give it careful consideration. A final review of all applications received for the position will not be conducted until after the posted deadline, which is November 1, 1990. We anticipate selecting final candidates for interviews during November, and we hope to have the search completed before the end of the year.

Please note the enclosed form, "Applicant Tracking Record for Academic Employment. Instructions for completing Part II of the form are given on the back of the form. As stated in these instructions, submission of this form is optional. As also stated in these instructions, providing your name is optional, if you do submit the form. I would like to encourage you to complete part II of this form and to return the form directly to me at the following address.

Associate Dean Sally Gregory Kohlstedt
University of Minnesota
Institute of Technology
107 Walter Library
117 Pleasant Street SE
Minneapolis, Minnesota 55455

Thank you for applying for the position of Associate to the Dean for the Institute of Technology.

Sincerely,

Sally Gregory Kohlstedt
Chair, Search Committee for
Associate to the Dean

SGK/mls
Enclosure

APPLICANT POOL CHECKLIST

For Use by Committees, Department Heads, and Reviewers of Form 17

General Considerations:

1. Does the department have a goal for hiring either minorities or women or both? Does the goal apply to this hire?
2. Does this department consistently hire, retain and promote minorities and women?

Specific Considerations:

1. Do the percentages of qualified minority and female candidates meet or exceed the availability for this particular job?
2. Do the percentages of proposed minority and female interviewees meet or exceed the availability for this particular job?
3. If not:
 - a. Were the announcements and ads timely?
 - b. Did the search committee unanimously approve the pool of candidates to be interviewed? If not, what reservations were expressed?
 - c. Did the committee have a written set of selection criteria?
 - d. Which of those criteria were not met by people of color or females who will not be interviewed?
 - e. Did the committee members make individual contacts with potential nominators or candidates? (See recruitment contact sheet.)
 - f. Were nominees contacted and encouraged to apply?
 - g. Did the search proceed fast enough so that candidates did not lose interest?
 - h. Were candidates kept informed of the progress of the search?
 - i. How interested in the position are the potential interviewees?

PAM:bhm

OVER

CNR 13

(name of search committee member)

RECRUITMENT CONTACT SHEET

| Name of Contact | Institution or Association | Name and Title of Suggested Nominee | Institution | Date of Contact with Nominee | Will Apply? (Yes/No) |
|-----------------|-------------------------------|--|-------------|------------------------------------|-------------------------|
| Donna Shavlik | American Council on Education | Emily Jones VP Finance | Cornell | 11/10/90 | maybe |

This is a worksheet intended to help committee members keep track of their contacts.

EQUAL OPPORTUNITY/AFFIRMATIVE ACTION
November, 1990

DATA/REPORTS
For Reviewing/Approving Applicant Pools on Form 17

Search committees, department heads, appointing administrators and Collegiate/Campus Equal Opportunity Officers may find the reports listed below helpful in evaluating the adequacy of a pool composition when reviewing the Form 17 pool (1) at the close of applications and (2) when a list of candidates are identified to invite for interviews.

The reports, available from the Collegiate/Campus EEO Officer and the University Equal Opportunity Officer, are not intended to be used to dictate a decision or replace independent judgement. Search committees or colleges are encouraged to augment the data with additional information obtained through professional associations.

FCE00-8, Academic Workforce Analysis for Faculty by Department: A summary of current faculty, 94XX titles, by tenure category, rank, race and sex.

FCE012-1, Academic Availability Analysis for Faculty by Department: A summary of degrees awarded (Ph.D. for most departments) by tenure category, academic specialty area, race and sex.

FCE014-1, Academic Utilization Analysis and Goals for Faculty by Department: A summary of faculty (94XX titles), availability and goals by tenure category, race and sex.

FCE047-1, Hiring Plan Supplement for Faculty Searches: A summary of faculty (94XX titles), availability (by specialty area), and applicant pools (from previous searches) by race and sex, with exception of applicant pools which is by sex.

FCE0123-1, Faculty Employment Profile by Department: A summary of faculty (94XX titles), availability, applicants, seriously considered/interviewed, offers, hires by race and sex.

Goals for Academic and Administrative (P/A) Positions: A summary of P/A academic employees (University-wide), availability and number to goal by job group, sex and total minority.

Note: The reports are prepared annually by the Office of Equal Opportunity and Affirmative Action.

FCE008 -

UNIVERSITY OF MINNESOTA
ACADEMIC WORKFORCE ANALYSIS FOR FACULTY
BY PARENT DEPARTMENT PAYROLL PERIOD: 10/31/89

PAGE 41
RUN DATE 01/08/90
RUN TIME 21:18:48

GOAL YEAR: 1989

[illegible]

| EEO6 | SOURCE / FIELD | AWARDED | MALE | | FEMALE | | BLACK | | ASIAN | | AM. INDIAN | | HISPANIC | | MINORITY | |
|-------------|-------------------------|---------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|----------|-----|----------|------|
| | | | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | DEGREES/PCT | | | | |
| 2A P | 01 700 HISTORY, AMERICA | 3237 | 2526 | 78.0 | 711 | 22.0 | 154 | 4.8 | 15 | .5 | 20 | .6 | 30 | .9 | 222 | 6.9 |
| 2A P | 01 705 HISTORY, EUROPEA | 2360 | 1756 | 74.4 | 604 | 25.6 | 12 | .5 | 15 | .6 | 4 | .2 | 23 | 1.0 | 60 | 2.5 |
| 2A P | 01 719 HISTORY, OTHER | 2928 | 2212 | 75.5 | 716 | 24.5 | 118 | 4.0 | 124 | 4.2 | 11 | .4 | 90 | 3.1 | 345 | 11.8 |
| 2B N | 01 700 HISTORY, AMERICA | 1016 | 673 | 66.2 | 343 | 33.8 | 49 | 4.8 | 10 | 1.0 | 2 | .2 | 17 | 1.7 | 78 | 7.7 |
| 2B N | 01 705 HISTORY, EUROPEA | 662 | 415 | 62.7 | 247 | 37.3 | 3 | .5 | 2 | .3 | 3 | .5 | 11 | 1.7 | 19 | 2.9 |
| 2B N | 01 719 HISTORY, OTHER | 669 | 456 | 68.2 | 213 | 31.8 | 30 | 4.5 | 29 | 4.3 | | | 20 | 3.0 | 79 | 11.8 |
| 2C T | 01 700 HISTORY, AMERICA | 1016 | 673 | 66.2 | 343 | 33.8 | 49 | 4.8 | 10 | 1.0 | 2 | .2 | 17 | 1.7 | 78 | 7.7 |
| DEPT TOTALS | | 11888 | 8711 | 73.3 | 3177 | 26.7 | 415 | 3.5 | 205 | 1.7 | 42 | .4 | 208 | 1.7 | 881 | 7.4 |

FCE014-1, Academic Utilization Analysis and Goals for Faculty by Department:

| | | | | | | | | | | | | | | | | | | | | | | | |
|-----------------------------|-------|--|---------|----------|--------------------|----------|----------|------|------------|-----|----------|-----|----------|-----|-----------|-----|-------------------|-----|------|-----|------|------|------|
| FCE014-1 | | UNIVERSITY OF MINNESOTA | | | | | | | | | | | | | | | PAGE 48 | | | | | | |
| V.P. B V P ACADEMIC AFFAIRS | | GOALS AND TIMETABLES | | | | | | | | | | | | | | | RUN DATE 01/08/90 | | | | | | |
| ADMN K LIBERAL ARTS | | FOR FACULTY BY PARENT DEPARTMENT | | | | | | | | | | | | | | | 21:27:17 | | | | | | |
| DEPT 2013 HISTORY | | PAYROLL PERIOD: 10/31/89 GOAL YEAR: 1989 | | | | | | | | | | | | | | | | | | | | | |
| EED6 | **** | F A C | U L T Y | **** | ** AVAILABILITY ** | | * GOAL * | | *NBR-GOAL* | | OPENINGS | | AN. GOAL | | 5-YR GOAL | | HIRE | | RATE | | | | |
| | TOTAL | MALE | FEMALE | MINORITY | FEMALE | MINORITY | FEM | MIN | FEM | MIN | 89 | 94 | FEM | MIN | FEM | MIN | FEM | MIN | | | | | |
| 2A P | 34 | 29 | 85.2 | 5 | 14.7 | 1 | 2.9 | 2031 | 23.8 | 627 | 7.4 | 8.1 | 2.5 | 3.1 | 1.5 | 0 | 0 | 0.0 | 0.0 | 0.0 | 23.8 | 7.4 | |
| 2B N | 3 | 0 | 0.0 | 3 | 100.0 | 0 | 0.0 | 803 | 34.2 | 176 | 7.5 | 1.0 | 0.2 | 0.0 | 0.2 | 1 | 0 | 0.0 | 0.1 | 0.0 | 0.0 | 7.5 | |
| 2C T | 2 | 2 | 100.0 | 0 | 0.0 | 1 | 50.0 | 343 | 33.8 | 78 | 7.7 | 0.7 | 0.2 | 0.7 | 0.0 | 0 | 0 | 0.0 | 0.0 | 0.0 | 33.8 | 0.0 | |
| DEPT TOTALS | | 2013 | | | | | | | | | | | | | | | | | | | | | |
| | 39 | 31 | 79.4 | 8 | 20.5 | 2 | 5.1 | 3177 | | 881 | | 9.8 | 2.9 | 3.8 | 1.7 | 1 | 0 | 0.0 | 0.1 | 0.0 | 0.0 | | |
| DEPT 2014 JOURN MASS COM | | | | | | | | | | | | | | | | | | | | | | | |
| 2A P | 14 | 9 | 64.2 | 5 | 35.7 | 1 | 7.1 | 15 | 29.4 | 3 | 5.9 | 4.1 | 0.8 | 0.0 | 0.0 | 1 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| 2B N | 2 | 2 | 100.0 | 0 | 0.0 | 0 | 0.0 | 149 | 41.3 | 24 | 6.6 | 0.8 | 0.1 | 0.8 | 0.1 | 2 | 0 | 0.8 | 0.1 | 0.0 | 0.0 | 41.3 | 6.6 |
| 2C T | 1 | 1 | 100.0 | 0 | 0.0 | 0 | 0.0 | 149 | 41.3 | 24 | 6.6 | 0.4 | 0.1 | 0.4 | 0.1 | 0 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | 41.3 | 6.6 |
| DEPT TOTALS | | 2014 | | | | | | | | | | | | | | | | | | | | | |
| | 17 | 12 | 70.5 | 5 | 29.4 | 1 | 5.8 | 313 | | 51 | | 5.3 | 1.0 | 1.2 | 0.2 | 3 | 0 | 0.8 | 0.1 | 0.0 | 0.0 | | |
| DEPT 2016 LINGUISTICS | | | | | | | | | | | | | | | | | | | | | | | |
| 2A P | 11 | 6 | 54.5 | 5 | 45.4 | 1 | 9.0 | 754 | 43.2 | 200 | 11.4 | 4.8 | 1.3 | 0.0 | 0.3 | 0 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 11.4 |
| 2B N | 0 | 0 | 0.0 | 0 | 0.0 | 0 | 0.0 | 459 | 51.5 | 84 | 9.4 | 0.0 | 0.0 | 0.0 | 0.0 | 0 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| 2C T | 0 | 0 | 0.0 | 0 | 0.0 | 0 | 0.0 | 459 | 51.5 | 84 | 9.4 | 0.0 | 0.0 | 0.0 | 0.0 | 0 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| DEPT TOTALS | | 2016 | | | | | | | | | | | | | | | | | | | | | |
| | 11 | 6 | 54.5 | 5 | 45.4 | 1 | 9.0 | 1672 | | 368 | | 4.8 | 1.3 | 0.0 | 0.3 | 0 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | | |
| DEPT 2017 MUSIC | | | | | | | | | | | | | | | | | | | | | | | |
| 2A P | 29 | 23 | 79.3 | 6 | 20.6 | 1 | 3.4 | 1015 | 26.3 | 223 | 5.8 | 7.6 | 1.7 | 1.6 | 0.7 | 1 | 0 | 0.3 | 0.1 | 0.0 | 0.0 | 26.3 | 5.8 |
| 2B N | 4 | 2 | 50.0 | 2 | 50.0 | 0 | 0.0 | 766 | 32.3 | 124 | 5.2 | 1.3 | 0.2 | 0.0 | 0.2 | 1 | 0 | 0.0 | 0.1 | 0.0 | 0.0 | 0.0 | 5.2 |
| 2C T | 2 | 0 | 0.0 | 2 | 100.0 | 0 | 0.0 | 766 | 32.3 | 124 | 5.2 | 0.6 | 0.1 | 0.0 | 0.1 | 0 | 0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 5.2 |
| DEPT TOTALS | | 2017 | | | | | | | | | | | | | | | | | | | | | |
| | 35 | 25 | 71.4 | 10 | 28.5 | 1 | 2.8 | 2547 | | 471 | | 9.5 | 2.0 | 1.6 | 1.0 | 2 | 0 | 0.3 | 0.2 | 0.0 | 0.0 | | |

[illegible]

FCE0123-1, Faculty Employment Profile by Department:

ADPD-FCE123-1

UNIVERSITY OF MINNESOTA

REPORT DATE: 01/23/90

OFFICE OF EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION
FACULTY EMPLOYMENT PROFILE BY DEPARTMENT
FACULTY PAYROLL PERIOD: 10/31/89
AVAILABILITY: 1975-1989
APPLICANT: 1984-1989

PAGE: 126

VP UNIT - V P ACADEMIC AFFAIRS
ADM UNIT - LIBERAL ARTS
2013
HISTORY

| | TOTAL | | MALE | | FEMALE | | WHITE | | BLACK | | ASIAN | | AMER. IND. | | HISPANIC | | TOTAL MIN. | |
|--------------|-------|-------|------|---------|--------|---------|-------|---------|-------|--------|-------|--------|------------|--------|----------|---------|------------|---------|
| | NO. | PCT. | NO. | PCT. | NO. | PCT. | NO. | PCT. | NO. | PCT. | NO. | PCT. | NO. | PCT. | NO. | PCT. | NO. | PCT. |
| FACULTY | 39 | (100) | 31 | (79.4) | 8 | (20.5) | 37 | (94.8) | 1 | (2.5) | 0 | (.0) | 0 | (.0) | 1 | (2.5) | 2 | (5.1) |
| AVAILABILITY | 10872 | (100) | 8038 | (73.9) | 2834 | (26.0) | 10080 | (92.7) | 366 | (3.3) | 195 | (1.7) | 40 | (.3) | 191 | (1.7) | 792 | (7.2) |
| SOURCE: 01 | | | | | | | | | | | | | | | | | | |
| APPLICANTS | 1662 | (100) | 1130 | (67.9) | 532 | (32.0) | 1652 | (99.3) | 8 | (.4) | 0 | (.0) | 0 | (.0) | 2 | (.1) | 10 | (.6) |
| SER.CON/INT. | 39 | (100) | 23 | (58.9) | 16 | (41.0) | 35 | (89.7) | 2 | (5.1) | 1 | (2.5) | 1 | (2.5) | 0 | (.0) | 4 | (10.2) |
| OFFERS | 10 | (100) | 5 | (50.0) | 5 | (50.0) | 9 | (90.0) | 0 | (.0) | 0 | (.0) | 0 | (.0) | 1 | (10.0) | 1 | (10.0) |
| HIRES | 9 | (100) | 5 | (55.5) | 4 | (44.4) | 8 | (88.8) | 0 | (.0) | 0 | (.0) | 0 | (.0) | 1 | (11.1) | 1 | (11.1) |

EXPLANATION

FACULTY:
INCLUDES ONLY FACULTY IN THE 94XX RANKS WHO WERE PAID ON THE OCTOBER 16-31 OR APRIL 1-15 PAYROLL FOR THE YEAR INDICATED ABOVE.
THIS INCLUDES FULL-TIME AND PART-TIME, REGULAR AND NONREGULAR FACULTY INCLUDING ADJUNCT AND VISITING FACULTY IN THE 94XX RANKS.

AVAILABILITY:
REFLECTS DEGREES AWARDED FOR THE 15-YEAR PERIOD, INDICATED ABOVE, FOR THE FINE FIELDS IDENTIFIED BY EACH DEPARTMENT AND APPROVED BY
THE OFFICE OF EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION.

APPLICANTS:
THESE APPLICANT FLOW DATA REFLECTS FORM 17 ACTIVITY FOR THE 5-YEAR PERIOD, INDICATED ABOVE, WHICH IS COLLECTED ANNUALLY FROM FORMS
17 APPROVED BY THE OFFICES OF EQUAL OPPORTUNITY AND THE VICE PRESIDENT FOR ACADEMIC AFFAIRS. FOR BLACK, ASIAN, AMERICAN INDIAN AND
HISPANIC, THIS INFORMATION HAS ONLY BEEN AVAILABLE SINCE 1987 WHEN FORM 17 WAS CHANGED TO COLLECT FORM 24 DATA.

SERIOUSLY CONSIDERED/INTERVIEWED: (SER.CON/INT.)
THIS INFORMATION IS COLLECTED FROM FORM 17 ACTIVITY FOR THE 5-YEAR PERIOD INDICATED ABOVE, FORM 17, LINE B.3, APPLICANTS INTERVIEW-
ED. THESE DATA INCLUDE BLACK, ASIAN, AMERICAN INDIAN AND HISPANIC ACTIVITY FOR THE COMPLETE 5-YEAR PERIOD.

OFFERS:
THIS INFORMATION IS COLLECTED FROM FORM 17 ACTIVITY FOR THE 5-YEAR PERIOD INDICATED ABOVE, FORM 17, LINE B.5, CANDIDATE SELECTED.
THESE DATA INCLUDE BLACK, ASIAN, AMERICAN INDIAN AND HISPANIC ACTIVITY FOR THE COMPLETE 5-YEAR PERIOD.

HIRES:
THIS INFORMATION IS COLLECTED FROM FORM 17 ACTIVITY FOR THE 5-YEAR PERIOD INDICATED ABOVE, FORM 17, LINE B.5, CANDIDATE SELECTED,
AND "VERIFIED HIRES" AS REPORTED BY DEPARTMENTS. BEGINNING 1988, "VERIFIED HIRES" REFLECTS PAF DOCUMENTS SUBMITTED TO ACADEMIC AF-
FAIRS FOR THE "CANDIDATES SELECTED". THESE DATA INCLUDE BLACK, ASIAN, AMERICAN INDIAN AND HISPANIC FOR THE COMPLETE 5-YEAR PERIOD.

Goals for Academic and Administrative (P/A) Positions:

GOALS AND TIMETABLES FOR NON-FACULTY

ACADEMIC EMPLOYEES ONLY (P/A)

GOAL YEAR 1989-90

UNIVERSITY OF MINNESOTA

VOLUME VIII

SECTION III

*JOB GROUP CODE: 1B

TITLE: Director (University/Campus/College level)

| JOB GROUP | EEO-6 CATEGORY | TOTAL EMPLOYEES PAYROLL: OCTOBER 89 | | | | | | AVAILABILITY AND ULTIMATE GOAL (U.G.) | | | | NO. TO ULTIMATE GOAL | | EXPECTED OPENINGS | | TIMETABLE GOALS | | | |
|-----------|---|--|-------------|--------|---------|----------|--------|--|---------|----------|---------|----------------------------|-------------|----------------------|-----|-----------------|---|-------------|-------------|
| | | M+F NO. | MALE NO. | FEMALE | | MINORITY | | FEMALE | | MINORITY | | FEM. NO. | MIN. NO. | 89-90 NO. | NO. | 1989-90 | | FEM. NO. | MIN. NO. |
| | | | | NO. | % | NO. | % | NO. | % | NO. | % | | | | | | | | |
| 1 | EXECUTIVE ADMINISTRATIVE MANAGERIAL | 63 | 46 | 17 | (27.0%) | 3 | (5.0%) | 24 | (38.0%) | 7 | (10.6%) | 7 | 4 | | | 7 | 4 | | |
| 3 | PROFESSIONAL NON-FACULTY | | | | | | | | | | | | | | | | | | |

*9314/University Librarian

9315/Secretary to the Board of Regents

9316/General Counsel

9317/University Attorney

9321/Controller

9330/Director (University-wide)

9334/Director (Campus/College level)

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

PRE-EMPLOYMENT INQUIRIES

Issued by the EEOC's Office of Public Affairs in August of 1981, and reflecting equal employment opportunity law at the time of issuance.

PRE-EMPLOYMENT INQUIRIES

Employment application forms and pre-employment interviews have traditionally been instruments for eliminating, at an early stage, "unsuited" or "unqualified" persons from consideration for employment and often have been used in such a way as to restrict or deny employment opportunities for women and members of minority groups.

The law, interpreted through court rulings and EEOC decisions, prohibits the use of all pre-employment inquiries and qualifying factors which disproportionately screen out members of minority groups or members of one sex and are not valid predictors of successful job performance or cannot be justified as "business necessity"⁽¹⁾.

In devising or reviewing application forms or in seeking information from job applicants, employers should ask themselves: (1) Will the answers to this question, if used in making a selection, have a disparate effect in screening out minorities and/or members of one sex (i.e., disqualify a significantly larger percentage of members of a particular group than others?); (2) Is this information really needed to judge an applicant's competence or qualification for the job in question?

BUSINESS NECESSITY AND JOB RELATEDNESS

The concept of business necessity has been narrowly defined by the courts. When a practice is found to have discriminatory effects, it can be justified only by showing that it is necessary to the safe and efficient operation of the business, that it effectively carries out the purpose it is supposed to serve and that there are no alternative policies or practices which would better or equally well serve the same purpose with less discriminatory impact⁽²⁾.

An employer should be able to demonstrate through statistical evidence that any selection procedure, which has a "disparate effect" on groups protected by the law, is job related (i.e., validly predicts successful performance in the type of job in question). If this cannot or does not wish to perform a technical validation study the use of the procedure should be discontinued or altered in such a way that there is no longer a discriminatory effect⁽³⁾. Even when a procedure having an adverse impact can be validated, it may not be used if there are other procedures which would accomplish the same goal and have less of a discriminatory effect.

SPECIAL ISSUES ADDRESSED BY COURT AND EEOC

Race, color, religion, sex or national origin

OVER

Under Title VII of the Civil Rights Act of 1964, as amended, pre-employment inquiries concerning race, color, religion, sex or national origin are not considered violations of the law in and of themselves. However, inquiries which either directly or indirectly disclose such information, unless otherwise explained, may constitute evidence of discrimination prohibited by Title VII. Some state fair employment practice laws expressly prohibit inquiries on employment applications concerning the applicant's race, color, religion, sex or national origin. In some states it may also be considered illegal to seek related data (e.g., former name, past residence, names of relatives, place of birth, citizenship, education, organizational activities, photograph and color of eyes and hair) which could indirectly reveal similar information.

Denial of equal employment opportunity to individuals because of marriage to or association with persons of a specific national, ethnic or racial origin, or because of attendance at schools or churches, or memberships in organizations identified with particular racial or ethnic groups, may be considered a violation of Title VII⁽⁴⁾. Charges presented to the EEOC alleging such discrimination will be examined with particular concern to determine if, indeed, the alleged discrimination was based on national origin. These determinations will be made according to general Title VII principles, such as disparate treatment and adverse impact.

An employer may justifiably and legitimately seek and obtain information of affirmative action programs, court-ordered or other governmental reporting or record-keeping requirements, and for studies to identify and resolve possible problems in the recruitment and testing of members of minority groups and/or women to insure equal employment for all persons.

However, the employer must be able to demonstrate that such data was collected for legitimate business purposes. Such information should be kept separate from the regular permanent employee records to insure that it is not used to discriminate in making personnel decisions.

Height and Weight

EEOC and the courts have ruled minimum height and weight requirements to be illegal if they screen out a disproportionately number of minority-group individuals (e.g., Spanish-surnamed or Asian-Americans) or women, and the employer cannot show that these standards are essential to the safe performance of the job in question⁽⁵⁾.

Marital Status, Number of Children and Provision For Child Care

Questions about marital status, pregnancy, future child-bearing plans and number/age of children are frequently used to discriminate against women and may be a violation of Title VII if used to deny or limit employment opportunities for female applicants. Employers are cautioned against use of such non-job related questions. Information needed for tax, insurance or social security purposes may be obtained after employment.

It is a violation of Title VII for employers to require pre-employment information about child care arrangements from female applicants only. The U.S. Supreme Court has ruled that an employer may not have different hiring policies for men and women with pre-school aged children⁽⁶⁾.

English Language Skill

When the use of an English language proficiency test has an adverse effect upon a particular minority group and English language skill is not a requirement of the work to be performed, this is a violation of Title VII⁽⁷⁾.

Educational Requirements

The U.S. Supreme Court has found an employer's requirement of a high school education discriminatory where statistics showed such a requirement operated to disqualify blacks at a substantially higher rate than whites and there was no evidence that the requirement was significantly related to successful job performance. This standard applies to all groups protected under Title VII and is relevant to all questions relating to educational attainment, where no direct job related requirement or business necessity can be proven⁽⁸⁾.

Friends or Relatives Working for the Employer

Information about friends or relatives working for an employer is not relevant to an applicant's competence. Requesting such information may be unlawful if it indicates a preference for friends and relatives of present employees and the composition of the present workforce is such that this preference would reduce or eliminate opportunities for women or minority group members⁽⁹⁾. However, a "nepotism" policy which prohibits or limits employment opportunities of a spouse or other relative also may be illegal if it has an adverse impact on job opportunities for either women or men as a group⁽¹⁰⁾.

Arrest Records

Because members of some minority groups are arrested substantially more often than whites in proportion to their numbers in the population, making personnel decisions on the basis of arrest records involving no subsequent convictions has a disproportionate effect on the employment opportunities of members of these groups. The courts and the Commission accordingly have held that without proof of business necessity an employer's use of arrest records to disqualify job applicants is unlawful discrimination⁽¹¹⁾. The EEOC has ruled that even if an employer does not consider arrest information, their mere request for such information tends to discourage minority applicants and is, therefore, illegal.

Conviction Records

Federal courts have held that a conviction for a felony or misdemeanor may not by itself lawfully constitute an absolute bar to employment, but that an employer may give fair consideration to the relationship between a conviction and the applicant's fitness for a particular job⁽¹²⁾. These decisions indicate that conviction records should be cause for rejection only if their number, nature and recentness would cause the applicant to be unsuitable for the position. If such inquiries are made, they should be accompanied by a statement that a conviction records will not necessarily be a bar to employment and that factors such as age and time of the offense, seriousness and nature of the violation, and rehabilitation will be taken into account.

Discharge from Military Service

Employers should not, as a matter of policy, reject applicants with less than honorable discharges from military service. According to a Department of Defense study, minority service members receive a higher portion of general and undesirable discharges than non-minority members of similar aptitude and education.

Thus, an employer's requirement that to be eligible for employment, ex-members of the armed services must have been honorably discharged has a disparate effect upon minorities and may be a violation of Title VII⁽¹³⁾.

One Federal district court has held that an employer may inquire into an applicant's military service record if information regarding discharge status is used not in making a hiring decision, but in deciding whether further investigations should be made into the applicant's background and qualifications. If further inquiry reveals non-discriminatory grounds for denying employment, the employer may then refuse to hire the applicant⁽¹⁴⁾.

Since a request for this information may discourage minority workers from applying and therefore, be grounds for a discriminatory charge, employers should avoid such questions unless "business necessity" can be shown. As in the case of conviction records discussed above, questions regarding military service should be accompanied by a statement that a dishonorable or general discharge is not an absolute bar to employment and that other factors will affect a final decision to hire or not to hire.

Age

The Age Discrimination in Employment Act of 1967, as amended, prohibits discrimination on the basis of age with respect to individuals 40 to 70 years of age.

A request that an applicant state his age may tend to deter older applicants or may otherwise indicate discrimination based on age. Consequently, employment application forms which request such information will be closely scrutinized to assure that the request is for a permissible purpose and not for the purposes prescribed by the Age Discrimination in Employment Act. Permissible purposes are limited to when the age requirement or limit is a bona-fide job qualification (e.g., actors required for youthful roles) or is based on reasonable factors other than age.

Further information on age discrimination is contained in the EEOC pamphlet, "Persons 40-70 Note-Age Discrimination is Against The Law". This pamphlet is available from the EEOC at any of its district or area offices or from the EEOC's Office of Public Affairs, Washington, D.C., 20506.

Citizenship

"EEOC Guidelines on Discrimination Because of National Origin" indicates that consideration of an applicant's citizenship may constitute evidence of discrimination on the basis of national origin.

The law clearly protects all individuals, both citizens and non-citizens domiciled or residing in the United States, against discrimination on the basis of race, color, religion, sex or national origin.

Where consideration of citizen has the purpose or effect of discriminating against persons of a particular national origin, a person who is a lawfully immigrated alien, legally eligible to work, may not be discriminated against on the basis of his/her citizenship, except in the interest of national security or determined under a United States statute or presidential executive order respecting the particular position or premise in question.

If states have enacted laws prohibiting the employment of non-citizens that are in conflict with Title VII, the laws are superceded by Section 708 of Title VII(15).

The U.S. Supreme Court has found that a state civil service law which restricted state employment to U.S. citizens was unconstitutional and a denial of equal protection and benefit of the laws. A flat ban on employment of aliens without regard to the type of position or to the characteristics of the applicant involved was not justifiable on grounds of public interest(16).

Economic Status

Rejection of applicants because of poor credit ratings has a disparate impact on minority groups and hence has been found unlawful by the Commission, unless business necessity can be shown.

Inquiries as to an applicant's financial status, such as bankruptcy, car ownership, rental or ownership of a house, length of residence at an address, or past garnishments of wages, if utilized to make employment decisions, may likewise violate Title VII(17).

Availability For Work on Weekends or Holidays

Employers and unions have an obligation to accommodate the religious beliefs of employees and/or applicants, unless to do so would cause undue hardship. EEOC has determined that the use of pre-employment inquiries that determine an applicant's availability has an exclusionary effect on the employment opportunities of persons following certain religious practices. Questions relating to availability for work on Friday evenings, Saturdays, or holidays should not be asked unless the employer can show that the questions have not had an exclusionary effect on its employees or applicants who would need an accommodation for their religious practices, that the questions are otherwise justified and that there are no alternative procedures which would have a lesser exclusionary effect.

Data Required For Legitimate Business Purposes

Data on such matters as marital status, number/age of children, and similar issues, which could be used in a discriminatory manner in making employment decisions but which are necessary, for instance, reporting requirements or other business purposes, can and should be obtained after a person has been employed, not by means of an application form or pre-employment interview.

Another means of collecting such data that has been approved by the courts is the use of a "tear off" sheet, preferably anonymous. After completing the application and the "tear off" sheet, the latter is separated from the

application and used only for purposes unrelated to the selection decision.

It is reasonable to assume that all questions on an application form or in a pre-employment interview are for some purpose and that selection or hiring decisions are made on the basis of the answers given. In an investigation of charges of discrimination, the burden of proof is on the employer to show that answers to all questions on application forms or in oral interviews are not used in making hiring and placement decisions in a discriminatory manner prohibited by law.

To seek information other than that which is essential to effectively evaluate a person's qualifications for employment is to make oneself vulnerable to charges of discrimination and consequently legal proceedings.

It is, therefore, in an employer's own self-interest to carefully review all procedures used in screening applicants for employment, eliminating or altering any not justified by business necessity.

FOOTNOTES:

1. Griggs vs. Duke Power Co., (3 EPC p8137) 401 U.S. 424 (1971).
2. Griggs vs. Duke Power Co., supra; Robinson vs. Lorillard Corp. (3 EPD p8267) 444 F. ed 791 (C.A. 4, 1971); U.S. vs. St. Louis-San Francisco R.R. Co., (4 EPD p7862) 464 F. 2d 301, 308 (C.A. 8, 1972); Jones vs. Lee Way Motor Freight, Inc., (2 EPD p10, 283, 431, F.2d 245 (C.A. 10, 1970).
3. EEOC Guidelines on Employee Selection Procedures, Code of Federal Regulations, Title 29, Chapter XIV, Part 1607.
4. EEOC Guidelines on Discrimination Because of National Origin, Code of Federal Regulations, Title 29, Chapter XIV, Part 1606; EEOC Decision No. 71-969 (1970).
5. Davis vs. County of Los Angeles, (15 EPD p8046) 566 F. 2d 1334 (C.A. 9, 1977), vacated and remanded as moot on other grounds, 440 U.S. 625 (1979); Dothard vs. Rawlinson, (14 EPD p7632) 433 U.S. 321 (1977).
6. Phillips vs. Martin Marietta Corp., (3 EPD p8088) 400 U.S. 542 (1971).
7. EEOC Guidelines on Discrimination Because of National Origin, supra Uniform Guidelines on Employee Selection Procedures (1978).
8. Griggs vs. Duke Power Co., supra.
9. Local 53, International Association of Heat and Frost Insulators and Asbestos Workers vs. Volger, 407 F. 2d 1047 (C.A. 5, 1969); Lea vs. Cone Mills Corp., (3 EPD p8102) 438 F. 2d 86 (C.A. 4, 1971), aff'g. 301 F. Supp. 97 (D.C., N.C., 1969); EEOC Decision No. (p6403) 74-13 (1973).
10. EEOC Decision No. (p6492) 75-239 (1975).

11. Carter vs. Gallagher, (4 EPD p7616) 452 F. 2d 315 (C.A. 8, 1971); Gregory vs. Litton, (5 EPD p8089) 472 F. 2d 631 (C.A. 9, 1972).
12. Carter vs. Gallagher, supra; Green vs. Missouri Pacific RR Co., (10 EPD p10, 314) 523 F. 2d 1290 (C.A. 8, 1975).
13. EEOC Decision No. (p6400) 74-25 (1973).
14. Lewis vs. Western Airlines, (8 EPD p9609) 379 F. Supp. 684, (D.C., ND Cal., 1974); Partial summary denied 9 EPD 10, 151 (D.C., ND Cal., 1975).
15. EEOC Guidelines on Discrimination Because of National Origin, supra.
16. Sugarman vs. Dougall, (6 EPD p8682) 413 U.S. 634 1973)
17. Johnson vs. Pike Co., (4 EPD p7517) 332 F. Supp. 490 (C.D. Cal. 1971).
EEOC Decision No. (p6386) 74-02 (1973).
18. EEOC Guidelines on Discrimination Because of Religion, Code of Federal Regulations, Title 29, Chapter XIV, Part 1605.

Distributed by:

Office of Equal Opportunity and Affirmative Action
University of Minnesota
419 Morrill Hall
100 Church Street S.E.
Minneapolis, MN 55455

PROCEDURES FOR REVIEWING THE PERFORMANCE OF PROBATIONARY FACULTY

These procedures are adopted in accordance with sections 7.4, 7.61, and 16.3 of the Regulations Concerning Faculty Tenure. They cover additional elements of the tenure-granting and review process.

Purposes and Application

This document contains procedural rules for the consideration of candidates for tenure and promotion. It is also intended to provide a convenient guide for department heads, tenured faculty members, and candidates, to assist in understanding and organizing the tenure-granting process. The document restates some of the rules which are found in the Tenure Regulations, and adds additional procedures. For additional detail or interpretation, see the relevant sections of the Tenure Regulations.

The mandatory rules (those using "must") established in this document are minimum requirements. Departments and colleges are free to supplement them to provide further protection for candidates. Other procedures are simply recommendations (those using "should " or "may").

The procedural rules established by this document are intended to guide the orderly and fair administration of the tenure process. Departments, review committees, department heads, and other administrators should carefully follow them. They do not, however, give candidates or others a right to set aside a decision based merely upon minor or technical variations from the rules. The Judicial Committee will review a claim that a decision was procedurally incorrect only if it was based in significant degree upon a substantial and prejudicial deviation from the procedures prescribed. (Tenure Regulations, section 7.7(c)).

If it is impossible or impracticable to implement these procedures, a department may apply to the Vice President and the Tenure Committee for a written variance. Variances will be given very sparingly, and will be accompanied by requirements that the department take other steps to insure that the process conforms to the maximum extent possible to the principles set forth here. Applications for variance should be made in writing; variances will be granted only in writing.

These procedural rules apply to decisions which are made in the 1986-87 and following academic years. These procedures must be followed, even if the original appointment was made under Tenure Regulations in effect prior to July 1, 1985. Since the procedures do not deviate in substance from those previously in effect, there should be little difficulty in complying with them.

Definitions

Note these definitions:

OVER

"Department" means the academic unit in which tenure is held. In some cases, that is a division or college. The Notice of Appointment indicates the unit in which the appointment is held. (The Tenure Regulations use the term "academic unit" to describe this unit; the more common term "department" is used here. No difference is intended.)

"Head of the department" means the chief administrative officer, whether called a head, director, chair, or dean, or some other title. The head of the department may delegate functions to some other senior faculty member who holds tenure. These functions may not be delegated to civil servants or to professional/administrative staff members, although they may provide appropriate supporting roles.

"Tenured faculty" of a department means the regular faculty members of that department who hold indefinite tenure in that department, without regard to their rank. It does not include persons who hold non-regular or adjunct appointments in that department, even if they have tenure in another department. It does not include persons with academic professional or administrative staff appointments, even if they have continuous appointments in those professional appointments.

"College" means the collegiate unit to which the department belongs. It is usually a college, but it may be a school, institute, campus, or other unit.

"Dean" means the chief administrative officer of the "college", whether called a dean, director, chancellor, or other officer. The dean may delegate functions to an associate who is a faculty member with tenure. The dean may not delegate functions to civil servants or to professional/administrative staff members, even if they hold administrative titles, but they may provide appropriate supporting roles.

"Vice President" means the Vice President for Academic Affairs. The vice president may delegate functions to an associate who is a faculty member with tenure. The vice president may not delegate functions to civil servants or to professional/administrative staff members, even if they hold administrative titles, but they may provide appropriate supporting roles.

TENURE PROCEDURES

Actions to be taken generally, without respect to individual candidates.

1. **Departmental statement of criteria.** The Tenure Regulations require every department to have a document "that articulates with reasonable specificity the indices and standards which will be used to evaluate" candidates. (See Tenure Regulations, section 7.12.)

These standards will apply to all candidates for tenure in the department, unless there is a special contract to the contrary. (See Tenure Regulations, section 3.6.)

2. **Alternative voting rules.** Ordinarily, a majority of those present and voting on a personnel question will take action for a department, if a quorum is present. A department or college may, however, require an exceptional majority (such as a 2/3 majority or an absolute majority of the members of the department) as a prerequisite for a recommendation for tenure. (See Tenure Regulations, section 7.4 (4).) If it wishes to do so, it must adopt that rule well in advance of the meeting in which the tenure decision will take place, normally no later than the previous school year. Any

rule requiring an absolute majority should also have a provision for excusing members who are unable to participate. All rules requiring special majorities must be reported to the Academic Affairs office and the Tenure Committee. The rule may be adopted as part of the college or department constitution or as part of the rules adopted under 7.12, or by separate action. (Current departmental or collegiate rules of this kind remain in effect and need not be readopted.) However if the rule is adopted, it must be reproduced and distributed with the departmental rules adopted under section 7.12. If both the college and the unit have rules to this effect, the more rigorous requirement prevails.

At the beginning of a probationary appointment

3. **Explaining the process to the candidate.** Early in the probationary appointment, the department head must review the terms of appointment with the probationary candidate. This includes:

- Making certain that credit or prior service has been granted and appropriately recorded, and that there is a common understanding about the maximum length of the probationary period. See Tenure Regulations, section 5.4.
- Supplying the candidate with copies of the Tenure Regulations, these Procedures, and the Departmental Statement about tenure expectations. See Tenure Regulations, section 7.12. If the candidate is unsure about the application of the criteria, the discussion should seek to make that as clear as possible.
- Informing the candidate about the procedures used in the department to review teaching, research, and service. The candidate must be informed about the annual review process and made familiar with the annual report on Appraisals of Probationary Faculty (President's Form 12) which will be completed. The candidate must also be informed about his or her right to inspect the file and right of access to information.

The department head must make a written summary of this meeting, including the time and date it took place, and include it in the candidate's personnel record.

Annually during the probationary period

4. **Elements of the review process.** The process of reviewing a candidate's progress is a continuous one. It is intended to have an encouraging and nurturing function, although it is by necessity judgmental. Especially in the early years of the probationary period, the annual tenure review is intended to point out to the candidate strengths and weaknesses, so that the strengths can be built upon and the weaknesses remedied. Three elements are essential to this process: information gathering, deliberation, and consultation with the candidate.

The procedures set forth in these paragraphs (4-7) are minimum requirements. Some departments may prefer to conduct a more formal review, equivalent to that which must take place when a formal recommendation will be made regarding the candidate's appointment.

5. Collecting information on the candidate's performance. Beginning with the first year of the probationary period, the department has the responsibility for gathering data about the candidate's performance on all relevant criteria. This function must be performed by the department head or by a designated tenured faculty member or committee. Responsibility for this function must not be delegated to staff or students, although they may play appropriate supporting roles. the department head has the responsibility to see that the function is performed, and may request the candidate to assist in the preparation of the file.

The file should include:

- i. The candidate's current resume, and annual activity reports.
- ii. Summaries of the candidate's teaching assignments, including student and peer evaluations, using the methods of evaluation which have been adopted for the department or college.
- iii. Summaries or copies of (or references to) the candidate's research or other scholarly contributions.
- iv. Summaries of the candidate's discipline-related service activities if those are part of the mission of the department.
- v. Summaries of the supplementary criteria which the candidate may have satisfied, such as participation in the governance of the University or department.
- vi. Copies of the Appraisal of Probationary Faculty forms for this and previous years.
- vii. Any other relevant material relating to the satisfaction by the candidate of the requirements for tenure.
- viii. Where relevant, evaluations of the candidates discipline-related service activities.

The file may also include:

- ix. Evaluations of the candidate's teaching, research or scholarly contributions by persons inside and outside of the University.

The candidate has the duty to inspect the basic file (items i through viii) annually and to assist in assembling it. The candidate also has a right, but not a duty, to inspect individual evaluations contained in it. The candidate has a right to add material to the file or to make written comments; material provided by the candidate should be identified as such.

Note that this file is only part of the candidate's personnel file in the department. This tenure file contains only those matters which are relevant to an eventual tenure decision. It is accessible to the candidate and to all of the tenure faculty in the department, while other portions of the candidate's personnel file are accessible only to the candidate and to those who have reason to deal with particular information contained in it.

6. Annual review by tenured faculty. The file must be made available to the tenure faculty of the unit. The tenure faculty must review the progress of each probationary candidate annually, either at the annual tenure meeting or at a separate meeting. The annual review does not require a formal ballot or recommendation of the faculty, but departments may choose to proceed by taking a ballot, if they wish. (Note that under the new Tenure Regulations, an appointment will automatically be renewed annually until the maximum probationary period is reached, unless there is a recommendation for formal action, granting tenure or terminating the appointment, at some earlier time. Contracts are no longer "renewed" for two year periods.)

7. Annual conference with the candidate. The department head must discuss with the candidate the candidate's progress toward achieving tenure. The department head also reports the sense of the meeting of the tenured faculty, and any recommendations made by it, to the candidate. If the candidate has not personally reviewed the individual evaluations of performance contained in the file, the department head summarizes these. It is important that this conversation be candid, and that the candidate be clearly told if there are areas in which performance needs to be improved. The candidate must be given a copy of the annual Appraisal of Probationary Faculty report, which should parallel the major elements of this conversation, as well as a written summary of any additional matters discussed. If there are questions about the application of the criteria or about what the candidate is expected to do, the department head should amplify upon the criteria.

The head of the department places the Appraisal of Probationary Faculty report and a written summary of any additional matters discussed in the candidate's permanent file. The summary indicates the date and time of the meeting.

Formal consideration of the candidate for tenure or for termination of the appointment.

8. Tenure decision may be made at any time. A decision on tenure may be made in any year of the probationary period. It is not necessary to wait until the end of the probationary period, either to recommend tenure or to recommend termination of an appointment.

A candidate must be considered in a formal tenure review in the last year of the probationary period, i.e., the sixth year of an ordinary probationary period or the designated time in a shorter probationary period. A formal review must also take place at the times required by special contract. A formal review may be initiated at any earlier time by the department head or by vote of the tenure faculty of the department. The candidate may request an early tenure review; the department will decide whether to conduct it. Because the process of conducting a formal review involves a number of steps, including the solicitation of external evaluations, and because there is a fixed time schedule for review of departmental recommendations, a decision to conduct a formal tenure review must be made well in advance of the date at which a vote will be taken. Frequently it will be necessary to initiate the process during the summer preceding the academic year in which the vote will be taken.

9. A decision to terminate appointment may be made at any time. At any time, a department may recommend termination of a candidate's appointment. It may do so without seeking outside review, if the candidate's performance is so clearly short of the required standards that this course of action is appropriate. A department does not

need to seek outside review if the candidate's performance on any of the primary criteria is so deficient that positive evaluation of the other criteria would not warrant appointment.

10. Schedule for departmental action. The Academic Affairs office (and the dean's offices) annually establish schedules for formal action by departments and the subsequent review of those recommendations by the colleges and by central administration. It is important that the departments and colleges comply with these schedules, so that appropriate and unhurried review of decisions may take place, and so that any required notice may be given in a timely manner.

11. Preparation of the file for tenure decisions. The head of the department (or designated committee) has the responsibility for seeing that a file is prepared for each candidate, containing relevant information on teaching, research, and service, and on other factors relevant to the decision, including outside evaluations of the candidate's contributions to scholarship. The department should seek appraisals both from persons suggested by the candidate and from other recognized scholars in the field. Referees must be informed that their evaluations will not be held confidential, since state law may permit the candidate to inspect them.

Relevant information must not be excluded from the file, but the weight to be given to the views of any particular referee is a matter to be considered by the decision-making bodies. Anonymous statements must not be included in the file and cannot be considered. Unsolicited signed comments will be included in the file, if they are relevant and material to the decision. Candidates are discouraged from independently soliciting comments or evaluations, but are encouraged to suggest names of evaluators to the department.

This file is similar to that prepared for the annual review, but it should encompass the entire probationary period. It includes:

- i. The candidate's current resume, and a summary of the candidate's accomplishments during the probationary period.
- ii. Summaries of the candidate's teaching assignments, including student evaluations, using the methods of evaluation which have been adopted for the department or college.
- iii. Summaries or copies of (or references to) the candidate's research or other scholarly contributions. (If actual copies are included in the basic file, they should not be forwarded in the review process unless a specific request is made for them by the reviewing authorities. The review will be conducted on the basis of summaries and evaluations).
- iv. Summaries of the candidate's discipline-related service activities, if those are part of the mission of the department.
- v. Summaries of the supplementary criteria which the candidate may have satisfied, such as participation in the governance of the University and department.

- vi. Copies of the Appraisal of Probationary Faculty reports for each of the probationary years, as well as of other evaluations by the department or department head.
- vii. Any other relevant material relating to the satisfaction by the candidate of the requirements for tenure.
- viii. Where relevant, evaluations of the candidate's discipline-related service activities.

If the candidate is being considered for tenure, the file must also include:

- ix. Evaluations of the candidate's teaching, research or other scholarly contributions by persons inside and outside of the University.

The candidate has the duty to inspect the basic file (items i through viii), to assist in assembling it, and to inspect it for accuracy and completeness. The candidate also has a right, but not a duty, to inspect individual evaluations contained in it. If the candidate has not personally reviewed the individual evaluations of performance, the department head summarizes them for the candidate. The candidate has a right to add material to the file or to make written comments; material provided by the candidate should be identified as such.

12. **Attendance at tenure meetings.** Attendance and participation at tenure review meetings are important parts of the duty of a member of the tenured faculty. The head of the department must schedule the time and place of the formal meeting of the tenured faculty well in advance, and must notify all tenured faculty of that time. In ordinary circumstances, at least one month's notice of the meeting should be given to assure that tenured faculty members can attend the meeting. All members of the tenured faculty may participate regardless of rank.

13. **Who is eligible to vote.** Only members of the tenured faculty of the department have the right to attend or participate in the meeting and vote. However, prior to a specific tenure decision, permission may be sought from the Vice President in writing for other faculty to participate and vote. The request must specify the probationer under consideration, the name(s) of those for whom exceptions are sought, and a justification for each such exception. Authorization in writing by the Vice President must be obtained for all exceptional participation and voting. If the department head is a member of the tenured faculty, he or she may participate and vote, but has no additional tie-breaking vote.

14. **Disqualifications.** Persons who are or were closely related to a candidate by blood or marriage, or who have or have had an intimate personal relationship with a candidate which would prejudice their judgment, must not attend or participate in the meeting with respect to that candidate. If the candidate (or another member of the tenured faculty) wishes to challenge the participation of any member of the tenured faculty, that challenge must be made in writing to the challenged faculty member and to the head of the department at least two weeks before the scheduled tenure meeting, stating the reasons for the challenge and setting forth the relevant evidence. The fact that a member of the tenured faculty has formed a view of the candidate's teaching, research, or scholarship during the course of the candidate's career is not a basis for disqualification. The challenged faculty member will decide whether to participate in the

decision. The record of the challenge and its resolution will be included in the file which is forwarded for review.

The same principles of disqualification apply to members of the review committees and to department heads, deans, the Vice President, and other academic administrators who may be called upon to review the matter.

15. **Voting procedures.** The decision is by written, unsigned secret ballot.

An effort must be made to provide a copy of the file to every tenured faculty member who will be absent from the meeting, but who wishes to participate in the vote. Such faculty members must be given an opportunity to vote by written absentee ballot, which should be sent in a sealed envelope. Proxy vote or telephone votes are not permitted.

16. **Questions to be voted upon.** If it is desired to take a vote at any time before the final probationary year, either (or both) of the following questions may be put:

- Shall (the candidate) be recommended for tenure?
- Shall (the candidate) be given notice of termination of appointment?

If no vote is taken or if there is no majority for either motion, the appointment will be continued.

In the last year of the probationary period, the question should be "Shall (the candidate) be recommended for tenure?" If there is no majority for that motion, the recommendation is automatically for termination of the appointment.

17. **Required majority.** Except as indicated below, the action of the department is based on the majority of those voting on the question. If there is a tie vote, the recommendation is in the negative. In the final year of the probationary period, a tie vote on the question of tenure creates an automatic recommendation for termination of the appointment.

In a department which has a rule requiring an alternative majority (see section 2 above), if a recommendation to grant tenure receives an ordinary majority, but not the required exceptional majority, the department must prepare and send forward the file, but without a recommendation for tenure, unless the candidate requests in writing that no further review take place.

In all cases, the actual vote is to be reported. The report should indicate the number who are qualified to vote, the number of affirmative and negative votes, the number of persons present at the meeting who abstained, the number who were absent and not voting. It should also indicate how many absentee ballots were cast. If there is a "reconsideration " after an initial vote, both the original and the reconsidered vote should be fully reported. Although the department's recommendation is based upon the required majority by the rules applicable to the particular department, reviewing committees and administrators may legitimately take into consideration the strength of the majority in conducting their own review of the candidate.

18. **Report of action.** If the department (a) recommends tenure, or (b) recommends termination of the appointment, or (c) recommends continuation of the appointment because of a simple majority, but not a required exceptional majority, favored tenure,

the department must make a report and forward the report and the candidate's file to the dean for review. The dean may require the department to do so in other cases.

The department head (or the designated tenured faculty member or committee) prepares a draft report which states the faculty's recommendation, reports all votes taken, summarizes the candidate's file, and summarizes the reason for the action expressed at the meeting of the tenure faculty (including any minority views expressed at the meeting which had substantial support).

Serving in the capacity of the initial academic administrator, the department head also prepares an additional statement of personal agreement or disagreement with the department's recommendation, including the reasons for any disagreement.

The draft report is made available to the tenured faculty, who may comment and suggest changes. Faculty members may file separate reports if they believe that their views are not adequately reflected in the departmental report. Copies of such separate reports must be given to the department head and to the candidate. The submission of such reports is the only appropriate way for faculty members to present their separate views to the dean or to the collegiate or University review bodies.

The department head informs the candidate of the department's recommendation and of the department head's own recommendation. The department head also gives the candidate a copy of the final report if the candidate requests it.

The candidate has the right to submit a supplementary statement to the dean and college review committee. Copies of the statement must be given to the head of the department and distributed to the tenured faculty.

The department forwards the following material to the dean for review; the file, the departmental recommendation, the department head's recommendation, the departmental report, any separate statements by members of the tenured faculty, and any supplementary statement of the candidate. (Note that copies of the candidate's scholarly works are not to be forwarded, unless the reviewing authorities request them.)

Review by college

19. **Review by dean of college.** The recommendation is forwarded to the college office, where it is reviewed by the dean who may be advised by a collegiate review committee. The dean may also consult with other persons before making decisions but each such consultation or review shall be recorded in the candidate's file.

In collegiate units where the college is not subdivided into departments, the recommendation is forwarded directly to the Vice President. (See part 24 of these procedures, below.)

20. **College review committee.** The collegiate review committee is composed of members of the tenured faculty of the college. A college may designate two or more review committees for different fields of emphasis. The membership list of the committee is public. The committee is advisory to the dean. The Tenure Regulations provide that a faculty member may not serve on a review committee if that faculty member participated in the initial recommendation. Since faculty members have an obligation to participate in the departmental recommendation and ordinarily participate in evaluation of the candidate throughout the probationary period, a member of a

department cannot properly participate in the review of that department's recommendation. A committee member also cannot participate in a review in circumstances in which that committee member would have been disqualified by part 14 of these Procedures from participating in an initial decision on the candidate.

The review committee must review the matter on the basis of the file and other documents which are forwarded to the dean. It may not seek additional information, either from members of the department or from others. If it finds that the file contains insufficient information for it to make an informed judgment, or if there are matters on which the committee would like clarification from the department or the candidate, the committee may return the file to the dean with a request that the department and candidate be asked to provide the additional information.

21. Applicable criteria and standards. The review committee and the dean must use the criteria and standards for tenure applicable to the department and position involved. These are the criteria set forth in section 7.11 of the Tenure Regulations, the standards in the departmental statement required under section 7.12, and in any special contract under section 3.6. Subject only to that limitation, the review committee should examine the merits of the decision, not merely its procedural regularity.

The review committee must make a written recommendation to the dean. If it differs from the recommendation of the department, it must state the reasons for such difference. A copy of the recommendation must be supplied to the candidate. The recommendation becomes part of the candidate's file.

22. Requests for reconsideration: requests for more information. The dean may ask the department to reconsider the matter on the basis of specified concerns which are expressed in writing. In such case, the tenured faculty must reassemble and again discuss the question in light of the dean's comments or questions. The procedures are analogous to those stated above at parts 12 through 15 of these procedures. The vote is again by secret ballot. A supplemental report is prepared and transmitted in the same manner as the original recommendation. (See part 18.)

The dean also may ask the department or the candidate to provide additional information before making the decision, either on the dean's own motion or at the request of the review committee. The provision of such additional information does not require full departmental consideration, but the candidate should be informed of the request and given an opportunity to participate in the reply to it.

23. Dean's recommendation. The dean makes the recommendation for the college. (A dean or other reviewing officer may not participate in circumstances in which the officer would be disqualified from participating in the initial decision. See part 14 of these procedures.) Copies of the recommendation must be sent to the department and to the candidate.

The matter must be forwarded to the Vice President for review and appropriate action, if the recommendation involves (a) granting tenure, (b) terminating the appointment, (c) renewal of the appointment when the final recommendation of the department was for some other action, or (d) renewal of the appointment when a simple majority of the department (but not a required exceptional majority) favored the granting of tenure.

The dean must forward for review (a) the departmental recommendation, together with the departmental report and letters of recommendation upon which it relies, (b) the

department head's report, (c) the review committee's report, (d) the dean's own report, and (e) any other information in the file requested by the Vice President. Other portions of the file, e.g., original publications or teaching evaluations, should be retained by the College until completion of the review process and forwarded if requested.

The dean must add to the file any communication which has been received with respect to the candidacy, and memorandum summarizing any conversation which he or she has had with respect to it, which has been taken into consideration in any way.

Central Review and action.

24. **Central Review.** After receiving the recommendation of the dean, the Vice President makes a final decision. The Vice President may also consult with other persons before making a decision, but each such consultation or review shall be recorded in the candidate's file.

If the Vice President uses a review committee to review one or more candidates, it is subject to restrictions and procedures parallel to those imposed upon the collegiate review committees. If the Vice President consults with individuals about a particular candidate's qualifications, the consultation and basis for judgment must be recorded.

25. **Standards for review and action.** The central reviews and action must be based upon the standards for tenure applicable to the department and position involved. See part 21 of these procedures.

26. **Action by Vice President: explanations to dean and department.** The Vice President takes action on the recommendation. If the Vice President's action differs from the recommendation of the Department, the Vice President must send to the tenured faculty of the department and to the candidate a written statement of the substantive reasons for differing from the judgment of the tenured faculty of the department. (See section 7.63 of the Tenure Regulations.) That statement must be an evaluation of the candidate's substantive qualifications on the merits and include an explanation of the reasons on which the Vice President believes it appropriate to substitute his or her judgment for that of the department with regard to those qualifications. It may not be a mere recitation of the reviews which have taken place. If the Vice President's action differs from the recommendation of the Dean, a similar statement must be sent to the Dean.

PROCEDURES AND CRITERIA FOR PROMOTIONS

27. **Procedures for Promotions.** Procedures for considering promotions should parallel those for consideration of candidates for tenure.

Consideration for promotion must take place whenever the unit recommends a probationary Assistant Professor for tenure. A separate vote on promotion should be recorded and forwarded.

Probationary faculty with the rank of instructor who are granted tenure must also be promoted under Section 6 of the tenure code; a separate vote is therefore inappropriate.

Consideration for promotion may occur whenever it is initiated by the department head or by the faculty senior in rank to the candidate. The candidate may request that a

review take place at any time, but the faculty senior in rank will decide whether to conduct it.

The body which makes the recommendation consists of all members of the regular faculty of the department senior in rank to the candidate. (Both tenured and probationary faculty senior in rank may vote.) Adjunct and nonregular faculty senior in rank may be consulted, but have no vote, unless an exception has been provided by analogy to that provided in part 13. Otherwise, the procedures of parts 12, 13, 14, 15, and 17 apply.

28. Criteria for promotions. While a decision to grant tenure is based upon a demonstrated potential to continue to contribute significantly to the mission of the University and to its programs or teaching, research, and discipline-related service, (See section 7.11 of the Tenure Regulations, reproduced as an Appendix to this document), promotion in rank is based on actual achievement in these areas.

Promotion to the rank of associate professor is based upon professional distinction in research and demonstrated effectiveness in teaching and advising students, and, where relevant, in discipline-related service. Promotion to the rank of professor requires, in addition, a national or international scholarly reputation in the individual's field of study.

APPENDIX

CRITERIA FOR TENURE

Tenure Regulations 7.11 and 7.12

7.11 General Criteria. The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research, and service over the course of the faculty member's academic career. ⁴ The primary ⁵ criteria for demonstrating this potential are effectiveness in teaching ⁶ and professional distinction in research⁷; outstanding discipline-related service contributions⁸ will also be taken into account where they are an integral part of the mission of the academic unit. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision. ⁹

⁴ For interpretation and possible applications, see the interpretative comment that will be provided in accordance with the provisions of Section 16.2.

⁵ Criteria other than those expressly listed in this sentence must be explicitly stated and justified in terms of the mission of the University. Such additional criteria may not impinge upon the academic freedom of the probationary faculty member.

⁶ "Teaching" is not limited to credit-producing classroom instruction. It encompasses other forms of communication of knowledge (both to students registered in the University and to other persons in the community) as well as the supervision or advising of individual graduate or undergraduate students.

⁷ "Research" is not limited to the publication of scholarly works. It includes activities which lead to the public availability of products or practice which have a significance to society, such as artistic production or the development of new technology or scientific procedures.

⁸ "Service" means performance within the faculty member's academic expertise and the mission of the academic unit. It does not include performance of quasi-administrative functions

The individual's participation in the governance of the institution and other services to the University and service to the academic unit may be taken into consideration, but are not in themselves bases for awarding tenure.

Indefinite tenure may be granted at any time when the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if it appears that the appointee is not making satisfactory progress toward meeting the criteria within that period.

7.12 Departmental Statement. Each academic unit must have a document that articulates with reasonable specificity the indices and standards which will be used to evaluate whether candidates meet the criteria of Section 7.11. The document must comply with those standards, but should make their application more specific. Each such document is subject to review by the dean or other appropriate academic administrator and by the Vice President. Each academic unit must provide each probationary faculty member with a copy of the document at the beginning of the probationary service.

such as membership on faculty or Senate committees or other similar activities; those activities are relevant only to the limited extent set forth in the following paragraph.

Where service is not an integral part of the mission of the academic unit, a faculty member's service may be considered, but is not a prerequisite to the awarding of tenure.

⁹ Because of the special mission of the Crookston and Waseca campuses, disciplined inquiry in their fields of endeavor may be substituted for research in appraising faculty members there.

Other exceptions may be made only in exceptional circumstances by means of special contract, as provided in Section 3.6.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of Equal Opportunity and Affirmative Action
419 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455

(612) 624-9547

May 26, 1987

MEMORANDUM

TO: Collegiate and Unit Equal Opportunity Officers
FROM: Patricia A. Mullen, Director and University Equal Opportunity Officer
RE: The Nomination Process

The following procedures were drafted in response to questions about searches for endowed chairs. It is my suggestion that they be adopted for any searches which use a nomination process. If searches which are underway have progressed too far for all the procedures to be applied, simply apply those you can.

1. If nominations are sought or accepted for these positions, those who are nominated either by search committee members or others should be contacted and asked whether they are willing to be considered before the deadline for the search has been reached.
2. For nominees who are willing to be considered, documentation of the telephone or other verbal contact may be substituted for the letter of application provided that the contact is made before the last date of application.
3. The vitae or comparable information must be used to evaluate both applicants and nominees, regardless of who provided the information. In all cases, the search committee must have the use of the same information and criteria to evaluate applicants and nominees.
4. If the deadline for application poses a problem for the solicitation of interests from nominees, the committee should consider extending the deadline to a date near the end of the selection process. This change should be communicated to the Office of Equal Opportunity and Affirmative Action.
5. When the search is concluded, nominees who have declined to be considered by the committee should be excluded from the numbers provided on the Form 17 in section B. Since the committee's work will not be adequately represented without providing an accounting of their efforts to solicit these nominations, such information should be supplied on an attachment. If statistics about the race and sex of nominees who have declined is known, it should be provided.

Please communicate this information within your units. Thank you for your cooperation.

cc: Roger Benjamin, Provost and Vice President for Academic Affairs
Steve Dunham, Vice President and General Counsel for the University
Attorney's Office
V. Rama Murthy, Vice Provost and Associate Vice President for
Academic Affairs
Betty Robinett, Associate Vice President for Academic Affairs

It's All in What You Ask

Questions for Search Committees to Use

Search committees often have difficulty determining if a candidate is aware of and responsive to women's issues. When prospective employees are asked, "Are you concerned about and supportive of women's issues?" they will invariably give an affirmative reply. Unfortunately, that gives little indication of their level of concern or commitment. This paper contains a variety of questions that will help elicit useful information about candidates' concern about issues that affect women.

Many of these questions do not have a "right" or a "wrong" answer. Some are open ended to draw out the candidate's opinions and attitudes. Many of the questions can easily be adapted to apply to minority and disabled persons. Some questions will be appropriate only to certain disciplines.

These questions should be asked by both men and women on the search committee. Having only women ask questions about these issues may give a candidate the impression that equity issues are not important to the institution but are important only to women. Because many of the candidates will not have thought about these questions in advance, the questions will, in some situations, be useful in demonstrating how quickly candidates can think.

Search committees, of course, have many items on their agendas and cannot ask all or even most of these questions. Some of these questions may be incorporated into other questions or contribute to informal discussion within the interview process. Asking the questions also may be used as a way to raise awareness of women's issues among candidates and search committee members themselves. The list is not a definitive one, but it is intended to help committees develop questions that are appropriate for their own institutions and situations. In addition to aiding search committees, this paper may be of use to presidents, deans, provosts, affirmative action officers, and commis-

sions on the status of women. Several of the questions could also be used by those outside of academe to fill positions.

The questions are divided into three sections: general questions to ask both prospective administrators and faculty, questions appropriate for prospective administrators, and questions appropriate for faculty candidates.

GENERAL QUESTIONS

Equity

- ☐ How have you demonstrated your commitment to women's issues in your current position?
- ☐ Which of your achievements in the area of equity for women gives you the most satisfaction?
- ☐ Which of your accomplishments in the area of equity for women was the hardest to achieve? Why?
- ☐ How would you demonstrate your concern for equity for women if you were hired?
- ☐ Our institution is committed to fostering equity for women. What does "coeducation" mean to you? What steps would you take to ensure that genuine coeducation takes place on our campus?
- ☐ In your opinion, what are the three major problems for women on your campus?
- ☐ What are some issues of importance to minority women on your campus?
- ☐ In general, how are minority women's issues different from women's issues and minority men's issues?
- ☐ How has the women's movement affected your professional life?
- ☐ Do you think that most women's equity issues have been resolved? Is it time to turn our attention to other issues?
- ☐ How are general issues in higher education related to women's issues? What is the link?
- ☐ Institutions collect and analyze data but often that data is not broken down by sex. When is it important to do analysis by sex?

This paper was written by Bernice R. Sandler, Jean O'Gorman Hughes, and Mary DeMow.

Informal Support

- ☐ In what ways have you mentored, supported, or encouraged women on your campus?
- ☐ Have you ever worked actively on behalf of any of the following? If so, how?
 - ☐ women's studies program at your college/university
 - ☐ affirmative action policies, programs, or activities on behalf of women and women's issues
 - ☐ sexual harassment policies
 - ☐ rape crisis programs, including judicial procedures, and so forth
 - ☐ women's support groups at your college/university
 - ☐ child care arrangements for faculty, staff, and students
- ☐ Describe activities—including articles, interviews, and speeches—in which you have taken part that demonstrate a public commitment to women's equity.
- ☐ What are your views about women's studies and new scholarship on women?
- ☐ To whom do you go for advice about women's issues?
- ☐ What do you think of older women returning to school? Do you think that they need special services or other help? If so, what would you suggest?
- ☐ In your current position, have you ever seen a woman treated unfairly? How would/did you handle it?
- ☐ Many female graduate students face an increasingly chilly climate at a time when they are in transition between being a student and a professional. Can you describe some of the ways in which you think men and women graduate students are treated differently by faculty? By administrators? By other students? How would you promote the interests of female graduate students?

Climate

- ☐ In what ways do you think women faculty and administrators are treated differently from their male counterparts? In what ways may such different treatment place the women at a relative disadvantage in their personal and professional development? What would you do to help change this situation?
- ☐ How have you included women colleagues in off-campus activities, such as professional conferences and social events?
- ☐ How much time do you spend informally (such as having lunch) with male colleagues and with female colleagues?

- ☐ What have you done to welcome new women colleagues to campus?
- ☐ Have you ever collaborated with a woman on a research project or publication? In what way?
- ☐ Have you ever conducted research on gender-related issues?
- ☐ Have you ever attended any activities such as lectures or films which were sponsored by women students' organizations?

QUESTIONS FOR PROSPECTIVE ADMINISTRATORS

Some of these will be more appropriate to ask candidates for specific positions, such as presidents, deans, associate deans, or department chairs.

Formal Support

- ☐ In your current position, what is your relationship to the affirmative action officer? Have you ever sought his or her help in recruiting?
- ☐ How would you work to achieve equity for women scholars in terms of promotion and salary?
- ☐ How have you supported women students' organizations on campus? For example, have you arranged for funding or office space?
- ☐ How do you view the roles of a women's center, a commission on women, and a women's studies program?
- ☐ Is there a women's center at your institution? How do you feel about women's centers? What is your relationship to the women's center?
- ☐ At your current institution, is there a commission on women? What is your relationship to the commission? Do you think having a commission on women is a good idea? How do you envision working with one here?

Staff-related

- ☐ How many of the top people at your previous institution were women? What did you do to encourage hiring more women?
- ☐ Of the people you hired in your current position, what percentage are women?
- ☐ What was the highest position to which you appointed a woman?

- ☐ Have you been involved in a salary review at your current institution? How will you ensure equity for women's salaries?
- ☐ What do you think about more women than men being hired as part-time faculty with low salary, few benefits, and no place on the tenure track?
- ☐ What are your feelings about stopping the tenure clock while a woman is on maternity leave?
- ☐ What are the best ways to get people to think about and be aware of women's issues? How have you personally influenced others regarding women's issues?
- ☐ Generally women students do not participate in class as often as men. How have you helped members of your staff or department deal with this issue?

Direct Encouragement

- ☐ Which committee at your current institution would you consider the most powerful? How many women are on it? How many women have you appointed to it?
- ☐ Men and women students often have different experiences at college that affect their personal and professional development. How would you make the college environment more equitable for women?
- ☐ What do you think of having a nonsexist language policy for university communications? Would you implement one here?
- ☐ How would/did you address a lack of women students or faculty members in specific departments and divisions?

Other

- ☐ How serious a problem do you consider sexual harassment on your present campus? What have you done about it? Is there a grievance procedure for harassment problems? How does it work?
- ☐ At your current institution, did you ever observe or hear of examples of sexual harassment? How would you deal with a similar instance if it happened here?
- ☐ How did/would you deal with faculty members who say disparaging things about women?
- ☐ What women's issues have you addressed in speeches you have given during the last few years?
- ☐ What is your relationship to the panhellenic society on your current campus? How do you regulate or oversee fraternity and sorority activities?
- ☐ Have you raised money for women's sports?
- ☐ How have you worked to integrate women into sports

and related activities, including the band?

- ☐ Do you belong to any clubs that restrict membership by sex? (Such memberships, particularly when held by male administrators, may be a potential source of embarrassment when cited by student groups and/or the faculty senate.)

QUESTIONS FOR PROSPECTIVE FACULTY

Women's Studies

- ☐ Do you regularly read or subscribe to any journals that deal with scholarship about women?
- ☐ What scholarship about women have you read lately?
- ☐ Whose work on women have you found most related to your research? Your curriculum?
- ☐ How do you incorporate new scholarship on women into undergraduate coursework? Into your research? Into graduate coursework? With your graduate students? How do you help your colleagues do so?
- ☐ Which women scholars or authors do you include in your syllabi? Reading lists?
- ☐ Some people say that separate women's studies courses are preferable to integrating scholarship about women into the curriculum; others believe the reverse. How does one balance these points of view? What priority and emphasis would you give to generating research on the one hand, and then mainstreaming it on the other?
- ☐ Have any of your students ever written about women in their term papers? Their dissertations or theses?

Campus Environment

- ☐ In most classes women students don't participate as much as men. What have you done to encourage women to participate in your classes? Has it worked?
- ☐ Approximately how many men have you nominated for fellowships, awards, and prizes? How many women?
- ☐ How many teaching or research assistants have you hired in the last two years? How many were women?
- ☐ (for science faculty) Research shows that women in science often have lower aspirations than their male colleagues. Have you encountered this trend in your classes? What do you do about it?

- ☐ (for science faculty) What differences have you perceived in men and women in the laboratory? Do you tend to have single-sex lab teams? Why?
- ☐ How have you encouraged women students to enter traditionally male fields?
- ☐ What is your experience with faculty (and student) hostility to women and women's issues? Have you seen or experienced any sort of backlash or denial, where people say, in effect, "I don't want to hear about it"? How do you deal with backlash and denial?
- ☐ Have any students ever complained to you about sexual harassment or discrimination in any work with professors or staff? If so, how did you respond?
- ☐ How do you feel about teaching students older than yourself?
- ☐ (for physical education faculty) What impact has Title IX had at your current institution? What do you think about that?

*Adapted from a question prepared by the Sociologists for Women in Society's Committee on Endorsements as reproduced in *Sociologists for Women in Society Network News* 4 (April 1, 1987), 2.

The idea for this paper originated with professional associations, particularly the American Historical Society and the American Sociological Association, that have developed their own lists of questions to ask prospective candidates for office. We wish to acknowledge the interest and support of TIAA/CREF for this undertaking. In addition, the authors would like to thank Arlene K. Daniels, Professor of Sociology, Northwestern University; Jon Fuller, President, Great Lakes Colleges Association; Jean O'Barr, Director, Women's Studies, Duke University; and Donna Shavlik, Director, Office of Women in Higher Education, American Council on Education, for their helpful comments and suggestions in reviewing the draft of this paper.

Individual copies of this paper are available for \$2 (prepaid) from the Project on the Status and Education of Women, Association of American Colleges, 1818 R St., NW, Washington, D.C. 20009; 202/387-1300. Bulk rates are available: 15-99 copies are \$1.40 each (30 percent discount); 100 copies or more are \$1 each (50 percent discount). Checks should be made payable to AAC/PSEW. A list of all PSEW publications is available free with a self-addressed, stamped envelope.

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FEBRUARY 1988



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of the President
202 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455
(612) 626-1616

September 2, 1988

TO: Vice Presidents, Chancellors, Deans, Directors and
Department Heads

FROM: Richard J. Sauer
Interim President *Richard J. Sauer*

RE: Student Representation on University Committees

At the August meeting of the Educational Policy and Planning Committee of the Board of Regents, there was considerable discussion about student representation on search committees for administrators. Some Regents expressed interest in having a student on every such committee, unless there was good reason to the contrary.

In addition, a Regent has suggested drafting a policy statement mandating student representation on University committees to serve as the basis for further Board discussion of this issue. Acting Vice President and Provost Shirley Clark is forwarding this request to the Senate Consultative Committee, asking for its consideration and recommendation.

Meanwhile, I am writing to ask you to be sensitive to the issue of student representation on appropriate committees. Each time a committee is established, you should consider appropriate representation. There may well be cases where it would not be appropriate to include students, but it should result from a conscious decision following serious consideration.

Thanks for helping us give our primary customers, students, a role where appropriate in our numerous committee activities. We will give the long-term policy question careful deliberation in the months ahead.

RJS:pln

c: Student Representatives to the Board of Regents
Ms. Barbara Muesing, Secretary, Board of Regents
Professor Mark Brenner, Chair, Senate Consultative Committee



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of Equal Opportunity and Affirmative Action
419 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455
(612) 624-9547

May 4, 1988

MEMORANDUM

TO: Unit Equal Opportunity Officers, Deans, Directors, and
Department Heads

FROM: Patricia A. Mullen, Director and University Equal Opportunity Officer *PAM*
BS Barbara Shiels, Associate University Attorney

RE: EEOC Nondiscrimination Policy under Title VII and the
Immigration Reform and Control Act of 1986

The recent passage of the Immigration Reform and Control Act of 1986, has created some confusion about what is and is not permitted under the law.

The new law requires employers, including the University, to document that all employees hired after November 6, 1986 are U.S. citizens or legal aliens with authorization to work and imposes penalties against employers who hire illegal aliens after November 6, 1986.

The new law also prohibits discrimination on the basis of national origin and citizenship. Employers may not refuse to hire an individual who appears or sounds foreign if the individual is legally authorized to work. Further, the law does not change existing Title VII guidelines, which prohibit discrimination based on an individual's accent, English language fluency, citizenship or any other similar requirement unless it is clearly necessary for the job performance.

Please review the enclosed guidelines, "EEOC POLICY STATEMENT, February 26, 1987," and share them with search committees and other individuals who are responsible for hiring academic or civil service employees. The Equal Opportunity Employment Commission (EEOC) is the enforcement agency responsible for compliance with Title VII of the Civil Rights Act of 1964 covering employment discrimination on the basis of race, color, religion, sex and national origin.

PAM/BS:jgw

Enc. *J*

OVER

KEOC POLICY STATEMENT

Relationship of Title VII of the Civil Rights Act to the Immigration Reform and Control Act of 1986

(adopted February 26, 1987)

With its enactment of the Immigration Reform and Control Act of 1986, Congress for the first time has made it unlawful for an employer to hire individuals who are not legally authorized for employment in the United States. While adopting these new requirements, Congress was also concerned that some employers might overreact and refuse to hire individuals who appeared or sounded "foreign." Although Congress recognized that the existing prohibitions on national origin discrimination in Title VII of the Civil Rights Act would cover much of the potential discrimination, Congress also included in the Act a new nondiscrimination provision, to be enforced by the Department of Justice, which prohibits national origin discrimination by smaller employers not covered by Title VII and discrimination because of citizenship status by all employers with four or more employees.

Since the Immigration Act went into effect on November 6, 1986, public discussion of the effect of the new law on employment practices has not focused on the continuing requirements of Title VII. Rather, public attention has been directed primarily to the requirements of the new statute and the procedures by which it will be enforced. The Immigration Act, however, leaves in full force and effect the provisions of Title VII which ban discrimination in employment on account of national origin. See Section 102 (b) of the Immigration Reform and Control Act of 1986. The Commission, therefore, wishes to reaffirm that it will continue vigorously to enforce the nondiscrimination provisions of Title VII in accordance with its published guidelines and its existing instructions to its field staff. Commission employees are instructed to review this existing guidance, briefly summarized below, to ensure that they will be alert to any discrimination problems which may arise as a result of the Immigration Act.

Basic Nondiscrimination Requirement

Title VII bans employment practices which subject individuals to different or unequal treatment on account of their national origin. Consistent with this basic nondiscrimination principle, the Immigration Act requires an employer to verify that all individuals hired after the effective date of the Act are legally authorized for employment in the United States.

An employer who seeks such documentation only from "foreign looking" applicants or employees may violate both the Immigration Act and Title VII. Thus, an employer who scrupulously complies with the requirements of the Immigration Act as to all new employees will eliminate one important source of potential discrimination.

Other Employment Practices Which May Violate Title VII

In addition to complying with the Immigration Act an employer must also continue to ensure that it does not discriminate against individuals in hiring, or any other aspect of employment, based on their national origin. Employers should not mistakenly conclude either that they can avoid problems under the Immigration Act by ceasing to employ individuals of a particular national origin, or that the act in any way sanctions less than full equal opportunity for employees of all ethnic backgrounds. Acting on such mistaken beliefs will merely precipitate violations of Title VII. Particular attention should be paid to the following employment practices as they may violate Title VII under the circumstances described below:

1. Refusal to Hire. It is unlawful to refuse to hire an individual because of the individual's, or his or her ancestor's place of origin or because the individual has the physical, cultural or linguistic characteristics of a particular national origin group. It is also unlawful to refuse to hire an individual because of the individual's marriage to or association with members of a national origin group, or because the individual's name or spouse's name is associated with a particular national origin. See EEOC Guidelines on Discrimination Because of National Origin, 29 C.F.R. 1606.1.

2. Accent. It is unlawful to discriminate against an individual because of the individual's accent or manner of speaking unless the employer can show a legitimate, nondiscriminatory reason for its action. Where an employer claims that the individual's accent interfered with job performance, the Commission will carefully investigate the kinds of communications required by the job and the individual's ability to engage in those communications successfully. See EEOC Policy Statement on Discrimination Based on Manner of Speaking or Accent, adopted in August 1986 and filed in section 623 of the EEOC Compliance Manual.

3. Harassment. Harassment of employees on the basis of their national origin is unlawful under Title VII. Ethnic slurs and other verbal or physical conduct relating to an individual's national origin constitute harassment when this conduct: (1) has the purpose or effect of creating an intimidating, hostile or offensive working environment; (2) has the purpose or effect of unreasonably interfering with an individual's work performance; or (3) otherwise adversely affects an individual's employment opportunities. See EEOC Guidelines on Discrimination Because of National Origin, 20 C.F.R. 1606.8.

4. Speak-English-Only Rules. Rules which require employees to speak English only at all times are presumptively unlawful because they unduly burden individuals whose primary language is one other than English, and tend to create a hostile or discriminatory work environment based on national origin. An employer may have a more limited rule, requiring that employees speak only in English at certain times, where the employer can show that the rule is justified by business necessity. See EEOC Guidelines on Discrimination Because of National Origin, 29 C.F.R. 1606.8.

5. Height or Weight Requirements. Height or weight requirements are unlawful where they disproportionately disqualify individuals of a particular national origin and are not related to successful job performance. See EEOC Guidelines on Discrimination Because of National Origin, 29 C.F.R. 1606.6 (a)(2); *Dothard v. Rawlinson*, [14 EPD 7632] 433 U.S. 321(1977).

6. English Fluency Requirements. English fluency requirements may violate Title VII if they are adopted for discriminatory reasons or are not applied equally to all employees or applicants. Such requirements may also be unlawful if they disproportionately disqualify individuals of a particular national origin and are not shown to be job related. See EEOC Guidelines on Discrimination Because of National Origin, 29 C.F.R. 1606.6 (b)(1); EEOC Compliance Manual, Sec. 623.9.

7. Aptitude or Other Employment Tests. Under existing law and applicable guidelines, aptitude or other employment tests may violate Title VII if they are not applied equally to all applicants, or if they disproportionately disqualify applicants of a particular national origin and are not shown to be related to successful job performance. See EEOC Guidelines on Discrimination Because of National Origin, 29 C.F.R. 1606.6; *Griggs v. Duke Power Co.*, [3 EPD 8137] 401 U.S. 424 (1971).

8. Citizenship Requirements or Preferences. Citizenship requirements or preferences may be unlawful under Title VII if they have either the purpose or effect of discriminating against individuals because of their national origin. See EEOC Guidelines on Discrimination Because of National Origin, 29 C.F.R. 1606.5; EEOC Compliance Manual, Sec. 622; *Espinoza v. Farah Manufacturing, Co.* [6 EPD 8944] 414 U.S. 86 (1973). A citizenship requirement has a discriminatory effect if it disproportionately disqualifies individuals of a particular national origin and is not justified by a business necessity. An employer may not defend such a practice simply by showing that it hired other individuals of the same national origin who met the citizenship requirement. *Connecticut v. Teal*, [29 EPD 32,820] 457 U.S. 440 (1982)*.

* While the Immigration Act also prohibits discrimination on the basis of citizenship in some circumstances, that Act specifically states that it is not a violation of the Immigration Act to prefer a citizen over an alien where both are equally qualified. Employers should be aware, however, that such citizenship preferences may still violate Title VII if they have the purpose or effect of discriminating on the basis of national origin.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of Equal Opportunity and Affirmative Action
419 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455
(612) 624-9547

September 1989

MEMORANDUM

TO: All students, staff and faculty at the University of Minnesota

FROM: Patricia A. Mullen, Director and
University Equal Opportunity Officer

RE: University of Minnesota's Equal Opportunity Statement

The complete Equal Opportunity Statement appears on the reverse side of this memorandum, along with several other forms approved for use in specific circumstances. University policy requires that the appropriate form of the Equal Opportunity Statement be included in every University publication.

The University's Affirmative Action Programs for females, minorities, Vietnam Era veterans and the handicapped may be reviewed in this office between the hours of 8:00 a.m. and 4:30 p.m., Monday through Friday. Individuals who wish to be considered under an affirmative action program may self-identify at any time. Individuals with a disability (including people with AIDS) may request an accommodation. Information regarding these requirements is available from the Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall, 100 Church Street SE, Minneapolis, Minnesota, 55455.

PAM:bhm

(OVER)

University of Minnesota's Equal Opportunity Statement
September 1989

LONG FORM (for use in collegiate bulletins, employee handbooks and application forms)

"The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation.

In adhering to this policy, the University abides by the Minnesota Human Rights Act, Minnesota Statute Ch. 363, by the Federal Civil Rights Act, 42 U.S.C. 20000e; by the requirements of Title IX of the Education Amendments of 1972; by Sections 503 and 504 of the Rehabilitation Act of 1973; by Executive Order 11246, as amended; 38 U.S.C. 2012, the Vietnam Era Veterans Readjustment Assistance Act of 1972, as amended; and by other applicable statutes and regulations relating to equality of opportunity.

Inquiries regarding compliance may be directed to Patricia A. Mullen, Director, Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall, 100 Church Street SE, University of Minnesota, Minneapolis, Minnesota, 55455, (612) 624-9547."

MEDIUM FORM (this form is recommended for most other publications)

"The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, color, sex, national origin, handicap, age, veteran status, or sexual orientation."

SHORT FORM (for use on posters, and cases of severe space limitations)

"The University of Minnesota is an equal opportunity educator and employer."

EMPLOYMENT ADVERTISING

ACADEMIC ('non-student', 93xx, 94xx, 96xx, 97xx classes)

"The University of Minnesota is an equal opportunity educator and employer and specifically invites and encourages applications from women and minorities."

ALL OTHER POSITIONS (civil service and any student positions)

"The University of Minnesota is an equal opportunity educator and employer."

**AFFIRMATIVE ACTION PROGRAM
FOR THE HANDICAPPED
(41CFR60-741)
and
(Minnesota Statutes, Section 363.073,)**

**AFFIRMATIVE ACTION PROGRAM
FOR DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA
(41CFR60-250)**

**The University of Minnesota
January, 1990**

OVER

EQUAL OPPORTUNITY STATEMENT

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, religion, creed, color, sex, national origin, handicap, age, veteran status, or sexual orientation. In adhering to this policy, the University abides by the requirement of Title IX of the Education Amendments of 1972, by Sections 503 and 504 of the Rehabilitation Act of 1973, by Executive Order 11246, as amended: 38 U.S.C. 20121, the Vietnam Era Veterans' Readjustment Assistance Act of 1972, as amended; and by other applicable statutes and regulations relating to equality of opportunity.

Inquiries regarding compliance may be directed to Patricia A. Mullen, Director, Office of Equal Opportunity and Affirmative Action, 419 Morrill Hall, 100 Church Street S.E., Minneapolis, Minnesota 55455, (612) 624-9547, or to the Director of the Office of Civil Rights, Department of Education, Washington, D.C. 20202, or the Director of the Office of Federal Contract Compliance Programs, Department of Labor, Washington, D.C. 20210.

AFFIRMATIVE ACTION PROGRAM
FOR THE
UNIVERSITY OF MINNESOTA
419 Morrill Hall
Minneapolis, MN 55455

EEO-6 Identification Number: 27-0630-003969
(Twin Cities Campus)

Inclusive Dates of the AAP: FROM 01/01/90 TO 12/31/90
(mo/da/yr) (mo/da/yr)

Program Completed By:

Patricia A. Mullen
Patricia A. Mullen Date

Title: Director and University Equal
Opportunity Officer

Telephone Number: (612) 624-9547

Program Read and Approved by:

Nils Hasselmo
Nils Hasselmo Date

Title: President
University of Minnesota

Telephone Number: (612) 626-1616

OVER

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I. Introduction

As a federal and state contractor, the University is required to provide equal employment opportunities for qualified physically and mentally handicapped individuals and to eliminate employment discrimination based on a physical or mental handicap, pursuant to Section 503 of the "Rehabilitation Act Amendments of 1974" (P.L. 93-516) and Section 363.073, Minnesota Statutes, Certificates of Compliance for Public Contracts.

As a federal contractor, the University is required to provide equal employment opportunities for qualified disabled veterans and veterans of the Vietnam Era and to eliminate employment discrimination because an individual is a disabled veteran or veteran of the Vietnam Era, pursuant to the "Vietnam Era Veterans' Readjustment Assistance Act of 1972" (P.L. 92-540) as amended by the "Vietnam Era Veterans' Readjustment Assistance Act of 1974" (P.L. 93-508).

II. Equal Opportunity and Affirmative Action Policy

The University of Minnesota shall not discriminate against any employee or applicant for employment because of physical or mental disability or because a person is a disabled veteran or Vietnam Era veteran in regard to any position for which the employee is qualified. The University of Minnesota agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified disabled individuals, disabled veterans and Vietnam Era veterans without discrimination based upon their physical or mental disability in all employment practices such as the following: employment, upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. The University of Minnesota agrees to comply with the rules and relevant orders of the Minnesota Department of Human Rights, the Secretary of Labor issued pursuant to the Rehabilitation Act of 1973, as amended, and the Vietnam Era Veterans' Readjustment Assistance Act.

The University of Minnesota agrees to post in conspicuous places available to employees and applicants for employment, notices in a form to be prescribed by the Commissioner of the Minnesota Human Rights and by the Director of the Office of Federal Contract Compliance Programs (OFCCP) provided by or through the contracting officer. Such notices shall state the University of Minnesota's obligation under the law to take affirmative action to employ and advance in employment qualified employees and applicants for employment, and the rights of applicants and employees. The University of Minnesota shall notify each labor union or representative of workers with which it has a collective bargaining agreement or other

contract understanding, that the contractor is bound by the terms of Minnesota Statutes, Section 363.073 of the Minnesota Human Rights Act, Section 503 of the Rehabilitation Act of 1973 and the Vietnam Era Veterans' Readjustment Act and is committed to take affirmative action to employ and advance physically and mentally disabled individuals, disabled veterans and Vietnam Era veterans.

III. The Personnel Process

The Offices of University Personnel, Hospital Human Resources and Academic Affairs have the responsibility of reviewing their personnel process to assure proper consideration of the job qualifications of employees and applicants who are disabled, disabled veteran or Vietnam Era veterans.

A. Review of Job Qualification Requirements.

Prior to the posting of an academic or civil service position, these offices will review each job requisition to ensure that all physical and mental job qualification requirements are job-related and consistent with business necessity and the safe performance of the job. No position can be advertised or filled until the job requisition has been reviewed and approved by these offices.

B. Pre-Employment Medical Examination.

The University may require a medical examination after an offer of employment. The results of the examination will not be used to screen out qualified disabled individuals. Information obtained in response to such inquiries or examination shall be kept confidential except that (a) supervisors and managers may be informed regarding accommodations, (b) first aid and safety personnel may be informed, where and to the extent appropriate, if the condition might require emergency treatment, and (c) government officials investigating compliance with the Act shall be informed if they request such information.

C. Accommodations to Physical and Mental Limitations.

The University shall make reasonable accommodations to the physical and mental limitations of an employee or applicant unless such accommodation would impose an undue hardship on the conduct of the business.

When the physical or mental job qualifications constitute any portion of the job, every effort must be made by the employing department to make a reasonable accommodation to the physical and

mental limitations of an employee or applicant for employment.

Current employees and new applicants for academic and civil service employees will have the opportunity to identify by race, sex, handicap and veteran status. The Special Employment Office of Civil Service Personnel will work with each applicant who has a handicap and who requests an accommodation or special assistance.

D. Recruitment.

To ensure that qualified handicapped individuals are informed of the University's non-discrimination policy, the State Department of Manpower Services, Minnesota State Council For The Handicapped, and other agencies known to train and/or refer handicapped individuals and veterans will be informed of current University policies, programs and available employment openings.

IV. Dissemination of the Policy

The University will inform current employees, applicants, and the public of its affirmative action policy and program through postings, publications, workshops and through the news media.

A. Postings

Public notices regarding the law and University policy and program will be posted in University employment offices, placement offices and other appropriate areas.

B. Publications

The policy will be included in appropriate University publications, including the Brief, Minnesota Daily and the Annual Report from the Office of Equal Opportunity and Affirmative Action.

C. Distribution of the Policy and Program

A brochure to explain the Equal Opportunity Policy and Program has been distributed to all employees. It is available to all interested individuals.

D. Workshops and Seminars

To foster an understanding of the legal requirements of the law and sensitivity in the administration of the spirit of the law, the Office of Equal Opportunity and Affirmative Action will coordinate and/or sponsor periodic workshops and seminars for appropriate University personnel.

V. Responsibility for Implementation

- A. Patricia A. Mullen, Director and University Equal Opportunity Officer for the University of Minnesota. Her responsibilities include the monitoring of all equal opportunity and affirmative action activities, evaluating their effectiveness and recommending appropriate action to ensure their objectives.
- B. Unit Equal Opportunity Officers.
The University has designated a Unit Equal Opportunity Officer for each school, college and administrative unit, including the coordinate campuses, to assist the University Equal Opportunity Officer in monitoring these activities within their respective area.
- C. Search Committees.
The University Equal Opportunity Officer or the Unit Equal Opportunity Officer meets with each search committee prior to the posting, recruitment and selection for an academic position. Additionally, searches for administrators must ensure that the proposed candidate is aware of and committed to equal opportunity and affirmative action policies.
- D. Self-Identification Procedure.
Current employees and new applicants for academic and civil service employment will have the opportunity to identify by race, sex, handicap and veteran status. The Special Employment Office will work with each applicant who has a handicap and who requests an accommodation or special assistance.

Individuals requesting an accommodation will have the opportunity to inform the University about:

- (1) Any special methods, skills and procedures which qualify them for positions that they might not otherwise be able to do because of their handicap, so that they will be considered for any position of that kind; and
- (2) The accommodations which could be made which would enable them to perform the job properly and safely, including special equipment, changes in the physical layout of the job, elimination of certain duties relating to the job, or other reasonable accommodations.

Submission of this information is voluntary and refusal to provide it will not subject the handicapped individual to

discharge or disciplinary treatment. Information obtained concerning individuals shall be kept confidential, except that:

- (1) Supervisors and managers may be informed regarding restrictions on the work or duties of handicapped individuals, and regarding necessary accommodations;
- (2) First aid and safety personnel may be informed when and to the extent appropriate, if the condition might require emergency treatment, and;
- (3) Government officials investigating compliance with the Act shall be informed.

E. Monitoring of the Program

Information on the disabled, disabled veterans and Vietnam Era veterans is collected and maintained by Academic Affairs, Civil Service Personnel, the Hospital and the Office of Equal Opportunity and Affirmative Action.

(1) In academic employment, the Form 24, "Applicant Tracking Record for Academic Employment", is sent to applicants for academic non-student positions which are 75 percent time or more. The search committee and hiring official are responsible for giving serious consideration to applicants who identify by name for consideration under an affirmative action program.

Copies of the Form 24, for disabled applicants, disabled veterans and Vietnam Era veterans, must be retained in the search committee files. An applicant may review their individual file and request information about selection criteria and reasons for non-selection.

Upon completion of the search process, and before an offer can be extended to any candidate, the Form 17 and attachments, must be submitted for approval by the University Equal Opportunity Officer and by Academic Affairs. Each Form 24 returned by an applicant must be attached with the Form 17. The applicant pool information by race, sex, disability and veteran status is collected from the Form 17 and Form 24 and maintained by the Office of Equal Opportunity. Summary reports of applicants by race, sex, disability and veteran status are generated and reviewed annually by EEO-6 category and job group.

(2) The Civil Service Area Personnel Offices and Hospital collect information by race, sex, disability and veteran status from

applicants for each posting. Applicants may identify on the application by race, sex, disability and veteran status for consideration under an affirmative action program.

Applications of qualified applicants are referred to the hiring official who has the responsibility for giving serious consideration to the disabled, disabled veteran and Vietnam Era veteran who identify by name.

The Special Employment Section interviews disabled applicants who request employment assistance or an accommodation. The applicant makes a determination about when this information is applicable or appropriate to a specific posting based on the duties and the nature of the accommodation requested.

To close a position, the hiring official must complete the referral follow-up form and document reasons for non-selection of the disabled, disabled veterans and Vietnam Era veterans and outcome of accommodation requests.

The Personnel Office collects and maintains the information on applications, referral, interviews, hires, accommodation requests and reasons for non-selection by race, sex, disability and veteran status. An applicant may request to see their personnel file and information related to their application and non-selection.

Summary reports of applicants, referrals, interviews and hires are generated annually and reviewed by the Office of Equal Opportunity and Affirmative Action for compliance with state and federal regulations.

VI. Contractor and Vendors

Affirmative Action for Handicapped Workers.

In order to ensure that University contractors, subcontractors and vendors are equal opportunity employers, all contracts, subcontracts, and purchase orders for not less than \$2,500 shall certify to the following clause from Title 41, CFR, Chapter 60, Part 741.4:

Affirmative Action Clause:

"Each agency and each contractor and subcontractor shall include the following affirmative action clause in each of its covered government contracts or subcontracts (and

modifications, renewals, or extensions thereof if not included in the original contract)."

Affirmative Action for Disabled Veterans and Veterans of the Vietnam Era

In order to ensure that University contractors, subcontractors and vendors are equal opportunity employers, all contracts, subcontracts, and purchase orders for not less than \$2,500 shall certify to the following clause from Title 41, CFR, Chapter 60, Part 741.4:

Affirmative Action Clause:

"Each agency and each contractor and subcontractor shall include the following affirmative action clause in each of its covered government contracts or subcontracts (and modifications, renewals, or extensions thereof if not included in the original contract)."

VII. Policy Guidelines

Handicapped Individuals

The Rehabilitation Act of 1973, as amended, defines a "handicapped individual" for the purpose of the program as any person who:

- (1) Has a physical or mental impairment which substantially limits one or more of such person's major life activities;
- (2) Has a record of such impairments, or;
- (3) Is regarded as having such impairment.

Life Activities

"Life activities" may be considered to include communication, ambulation, self-care, socialization, education, vocational training, employment, transportation, adapting to housing, etc., for the purpose of Section 503 of the Act, primary attention is given to those life activities that affect employability.

Substantially Limited

For the purposes of this program, a handicapped individual is "substantially limited" if he or she is likely to experience difficulty in securing, retaining or advancing in employment because of the degree that the handicap affects employability.

Qualified Handicapped Individual

A "qualified handicapped individual" means a handicapped individual who is capable of performing the essential functions of a particular job, with reasonable accommodation to his or her handicap.

Has A Record of Such An Impairment

An individual who may be completely recovered from a previous physical or mental impairment is included because the attitude of employers, supervisors, and co-workers toward that previous handicap may result in discrimination. This includes the mentally restored and those who have had heart attacks or cancer. Also, this part of the definition includes individuals who may have been erroneously classified as mentally retarded or mentally restored.

Is Regarded as Having Such An Impairment

This refers to those individuals who are not perceived as having a handicap, whether an impairment exists or not, but who, because of attitudes or for any other reason, are regarded as handicapped by employers, or supervisors who have an effort on the individual securing, retaining or advancing in employment.

For the purpose of this program the following definitions shall apply pursuant to the Vietnam Era Veterans' Readjustment Assistance Act of 1974:

Veterans of the Vietnam Era

Means a person who (1) served on active duty for a period of more than 180 days, any part of which occurred between August 5, 1964 and May 7, 1975, and was discharged or released therefrom with other than a dishonorable discharge, or (2) was discharged or released from active duty for a service-connected disability if any part of such active duty was performed between August 5, 1964 and May 7, 1975. No veteran may be considered to be a veteran of the Vietnam Era under this paragraph after December 31, 1991.

Disabled Veteran

Means a person entitled to disability compensation under laws administered by the Veterans' Administration for disability rated at 30 per centum or more, or a person whose discharge or release from active duty was for a disability incurred or aggravated in the line of duty.

Qualified Disabled Veteran

Means a disabled veteran as previously defined who is capable of performing a particular job with reasonable accommodation to his or her disability.

VIII. Grievance Procedure

The Office of Equal Opportunity and Affirmative Action is responsible for investigating complaints of discrimination covered by equal opportunity policy and affirmative action programs.

Complaints of discrimination may be resolved without using formal University grievance procedures. The office will assist faculty, staff, students and other individuals primarily through informal channels. A person who feels that they have been discriminated against in education, employment or use of facilities on the basis of illegal discrimination, specific discrimination covered by the equal opportunity policy and affirmative action programs, may use the office. The process involves the follow basic steps.

- A. A person who feels that they have been discriminated against will meet with a staff member to discuss the specific incident(s). The person will be informed of the internal grievance options including the office grievance procedure.
- B. A determination is made on whether the complaint warrants investigation and whether the alleged discrimination is covered by the equal opportunity policy and affirmative action programs. The person may be asked to complete a complaint form.
- C. If a complaint is accepted and a determination is made that the University Equal Opportunity Policy was violated, a remedy to the problem will be offered.
- D. If a determination is made that the University Equal Opportunity Policy was not violated, the person is informed, and other options are explained.

Individuals are encouraged to exhaust all internal remedies and alternatives in making a "good faith" effort to reach an amicable resolution to a complaint. Each person must select the option most appropriate to the situation.

Individuals must also realize that most internal and external grievance procedures have strict time limits within which complaints must be initiated. A brochure with an explanation of the grievance procedure is available from the office.

Inquiries regarding grievance mechanisms may be directed to:

**Patricia A. Mullen, Director and University Equal Opportunity
Officer, Office of Equal Opportunity & Affirmative Action
419 Morrill Hall
100 Church Street S.E.**

Minneapolis, MN 55455

IX. Analyses and Review of 1988 Program

During 1989, the Department of Labor, OFCCP, came to the University of Minnesota, Twin Cities Campus, to verify compliance with a Conciliation Agreement of August 4, 1988, whereby the University agreed to modify its programs, civil service application form, and record-keeping system related to the disabled, disabled veterans and Vietnam Era veterans.

- A. Effective January 1989, the civil service Personnel Office began implementation of the new application form and applicant tracking system. The Hospital implemented their application form and record-keeping system in April, 1989. The Form 24, Applicant Tracking Form for Academic Positions, was revised in March 1989, to allow applicants to identify by name for inclusion under an affirmative action program.

From January 1989 to December 1989, the Special Employment Section of Personnel met with 313 individuals requesting an accommodation or special assistance. Of this total, 47 accommodations were implemented; 11 veterans were hired; and 53 others were also hired. In the Hospital and Clinics, 31 individuals requested an accommodation; 10 were current employees; and two applicants were hired. In academic employment, four colleges reported requests for accommodations by current or new employees; all requests were granted.

- B. Review of Personnel Practices

(1) Modifications

(a) The Form 18, Monitoring Form For Civil Service Positions Designated for Affirmative Action, was revised on 5/89 to include "Applicant Selected Has Civil Service Injured Employee Rights (Rule 6, Sect.2,3; Rule 15)," pursuant to rule change during previous year.

Employees who have been injured on the job and are unable to return to their former jobs have been given preference in referral for hiring (Rule 6, Section 3). The Special Employment Section of Personnel is responsible for working with injured workers and for recruiting disabled individuals and veterans.

(b) The Form 24, Applicant Tracking System for Academic Positions, was revised on 2/89 to permit applicants to identify by name for inclusion under a program for the disabled or disabled veterans and Vietnam Era veterans. On June 9, 1989, a memo, "The Use of President Form 24 in Academic Searches and Record-Keeping Obligations," was sent to Vice Presidents, Chancellors, Deans, Directors, Department Heads and Unit Equal Opportunity Officers.

The Form 17, Summary Of The Affirmative Action Process Assuring Equal Employment Opportunity In Academic Appointments, and the Form 16, Description of Available Academic Position At the University of Minnesota, were revised on 10/89 and 12/89, respectively, to include the clarification described in the June 9, 1989, memo regarding the use of the Form 24.

(c) Beginning January 1989, Civil Service Personnel implemented its revised application form and applicant tracking system to permit applicants to identify by race, sex, disability and veteran status for consideration under a program for women, minorities, the disabled, disabled veterans and Vietnam Era status, and to request an accommodation or special assistance. Disabled applicants requesting an accommodation or special assistance have the option of interviewing with the Special Employment Section.

The applicant tracking system has been modified to collect the above data for each applicant, reasons for nonselection, and accommodations made if hired.

(d) Beginning April 1989, the University Hospital and Clinics started using their revised application and tracking system which is comparable to the Civil Service Personnel System. The Hospital Human Resource Office also meets with disabled applicants who request an accommodation or special assistance. Records of applicants, referrals and hires are maintained by the Civil Service Personnel applicant tracking system while reasons for nonselection and accommodations are maintained by the Hospital Human Resource Office.

(e) In September 1989, civil service vacancies on the Twin Cities Campus became available by telephone through Cityline: Job applicants, both inside and outside the University, can apply for positions by phone if they have an application on file, or they

can request that form be sent to them. After reaching Cityline, (612) 645-6060, callers can hear job listings by spelling out "JOBS."

(2) Roster of Covered Veteran and Handicapped Employees

In 1986, the payroll/personnel data base was modified to collect data on nonstudent employees by disability, disabled veteran and Vietnam Era status. In 1987, all nonstudent employees were asked to voluntarily provide this information on the Form 20 and about half of the employees provided any response. Employees were notified through The Brief in 1988 and 1989 that they had the option to identify.

The October 1989 roster of employees indicated that of 5601 academic employees, 42 are disabled, and 188 are disabled veterans/Vietnam Era veterans, or 0.8 percent and 3.4 percent, respectively. Of a total of 13,033 civil service employees, 127 are disabled and 406 are disabled veterans/Vietnam Era veterans, or 1.0 percent and 3.1 percent, respectively.

(3) A review of Applicants, Referrals, Hires and Promotions is provided in paragraph D.

C. Dissemination of Policy, Development of Programs

(1) In January 1989, the Office of Equal Opportunity and Affirmative Action's annual workshop for Deans and Unit Equal Opportunity Officers, from all campuses, included an explanation of the University's affirmative action programs and recordkeeping for disabled individuals, disabled veterans and Vietnam Era veterans.

(2) In March 1989, the Equal Opportunity Office (EEO) and Personnel held a training session for the Area Personnel Offices to explain the University's affirmative action programs for disabled individuals, disabled veterans and Vietnam Era veterans.

(3) In May 1989, the University's Equal Opportunity Policy, notice of affirmative action programs and the invitation identify for inclusion under an affirmative action program were run in the Minnesota Daily and The Brief.

(4) In June 1989, the EEO sent a memo to the Vice Presidents,

Chancellors, Deans, Directors, Department Heads and Unit EEO Officers regarding "The Use of President Form 24 in Academic Searches and Record-Keeping Obligations."

(5) In July 1989, the EEO Office revised and expanded its complaint log to provide better information about discrimination alleged, area of discrimination and department.

The current agreements, July 1, 1989 through June 30, 1991, between the University and the bargaining unions have non-discrimination clauses which include coverage for disabled individuals and veterans. The agreements are with:

University Education Association; AFSCME Council 6, Local 1164, AFL-CIO; and Minnesota Teamsters Public and Law Enforcement Employees Union, Local 320.

(6) In September 1989, civil service vacancies on the Twin Cities Campus became available by telephone through Cityline: Job applicants, both inside and outside the University, can apply for positions by phone if they have an application on file, or they can request that form be sent to them. After reaching Cityline, (612) 645-6060, callers can hear job listings by spelling out "JOBS."

(7) In October 1989, a brochure about the University's affirmative action programs and a letter from President Hasselmo was mailed to every employee.

(8) The Office for Academic Affairs, Personnel, and the Hospital have posted the EEOC-OFCCP poster, State Department of Human Rights poster and the University Equal Opportunity Policy on their boards for University positions.

(9) During 1989, the Personnel Special Employment Office increased the number of State and local agencies who work with disabled individuals to 80. The Special Employment Office held training sessions with different agencies on May 19, August 22, and December 6, 1989, at which 121 individuals attended from 67 agencies.

The Office provides daily job postings and closing to state and local agencies that are computerized throughout the state system.

Parking for disabled applicants/employees at the Main Personnel Office, 1919 University, has been increased from three to five spaces.

A member of the Special Employment Office serves on the University Senate Committee to improve access for disabled applicants, employees, students and the general public.

The Special Employment Office works with the Office for Students with Disabilities to use their pool of interpreters for deaf applicants.

The Special Employment Office maintains a separate file of job postings (other than the official posting boards) for review by mobility impaired, low vision and learning disabled applicants. The Office has installed a TDD to improve communication with deaf applicants.

The Office works with the State Services for the Blind to have job postings in braille for blind applicants and employees.

(10) The Hospital Human Resource Office has begun a three-year program which includes mandatory diversity training for all managers and supervisors. The training is done by the University EEO Office.

Staff members have also attended workshops for working with the hearing-impaired and disabilities related to mental health. Education of employees and staff in increasing sensitivity toward the physically and mentally disabled will continue.

A TTD is now available to allow the hearing-impaired to communicate with the Hospital Human Resource staff.

D. Employment of the Disabled, Disabled Veterans and Vietnam Era Veterans

A comparison of the applicant and hire activity in 1987-88 with 1988-89 indicates:

(1) In academic employment, applications from the disabled increased from 105, or 0.4 percent of total applications, to 141, or 0.5 percent of total applications. Hiring of the disabled was down from 5, or 0.5 percent of total hires, to 2, or 0.2 percent

of total hires. Both hires were in the professional category which accounted for 77 percent of the applications from disabled individuals.

There were 20 hires in the academic administrative category and only 6 applications from disabled individuals. Faculty hires were down from 476 to 314 which may explain why no disabled individuals were hired in 1989, compared with one hire in 1988.

In academic employment, applications from disabled veterans and Vietnam veterans increased slightly from 513 to 594, or 1.9 percent of total applications for both years. Hiring of disabled veterans and Vietnam veterans decreased from 32, or 3.2 percent of total hires, to 23, or 2.9 percent of total hires, also a reflection of fewer faculty hires from the previous year. The hires were: 2 in the academic administrative category; 7 in faculty; and 14 in the professional area. With respect to faculty, it should be noted that there were fewer applications from disabled veterans and Vietnam Era veterans in 1989. In each category, veterans were hired at greater rates than other applicants.

In civil service employment, applications from the disabled increased from 3520, or 5.4 percent of total applications, to 5848, or 7.2 percent of total applications. Hiring of the disabled increased from 110, or 3.3 percent of total hires, to 189, or 3.9 percent of total hires. The majority of the 189 hires were in the professional, clerical, technical and service categories. When compared with others, disabled applicants were hired at lower rates, less than 80 percent, in all categories.

In civil service employment, applications from disabled veterans and Vietnam veterans increased from 2352, or 3.6 percent of total applicants, to 3032, or 3.7 percent of total applicants. Hiring of veterans and Vietnam veterans increased from 93 to 105, a decrease from 2.8 to 2.2 percent of total hires. It should be noted that total applicants increased from 65,501 to 81,656, an increase of 25 percent from the previous year. The majority of the 105 hires were in the professional, clerical, technical and service categories. When compared to other hires, veterans were hired at lower rates, less than 80 percent, with the exception of the skilled crafts category.

(2) In the academic area, 145 decisions were made on faculty

promotion and/tenure. One is a disabled individual and 5 are veterans, one disabled veteran and 5 Vietnam Era veterans. When compared to others, disabled individuals and veterans were promoted at equal or greater rates.

In the civil service area, 878 individuals were promoted. Eight were disabled individuals, or 0.9 percent of total: two in the professional category; five in the clerical category; and one in the skilled crafts category. When compared with others, disabled individuals were promoted at higher rates. The numbers of employees promoted in the other categories are too small to be meaningful.

Disabled veterans and Vietnam Era veterans comprise 1.7 percent of all civil service promotions, or 15: three in the executive category; three in the professional category; five in the clerical category; one in the technical category; and three in the skilled crafts category; When compared with others, disabled veterans and Vietnam veterans were promoted at higher rates in the executive, clerical and skilled crafts categories; they were promoted at lower rates in the professional and technical categories.

(3) Terminations and Non-Reappointments

In academic employment, there were 428 terminations, voluntary and involuntary. Disabled individuals accounted for five, or 1.2 percent of the total: three were faculty, two voluntary or completion of term and one retired; two academic professionals were voluntary or completion of term.

Disabled veterans and Vietnam Era veterans accounted for 15 terminations, or 3.5 percent of total terminations: six were faculty, five voluntary or completion of term; and seven were academic professionals, four voluntary or completion of term.

August 2, 1990

To: Chancellors, Deans, Directors, and Departments Heads
From: Carol Carrier, Associate Vice President for Academic Affairs
RE: Hiring ABD ("all but dissertation") Applicants

I would like to reissue at this time the information that was last provided early in 1989 regarding hires of ABD applicants. Questions continue to arise regarding the date by which an individual needs to have the Ph.D. in hand if the Form 16 (Description of Available Academic Position at the University of Minnesota) specifies that degree as a minimum requirement. **Unless the Form 16 specifically states otherwise, it is understood that the degree listed under minimum academic preparation should be in hand when the individual applies.** (Please refer to the various means for confirming completion of Ph.D. requirements as outlined in the footnote.)

If, however, the unit's intent is to accept applications from persons who may not actually meet the minimum degree requirement at the time of application, you may choose to use alternative language in the Form 16 and advertising. Phrasing such as the following may be used where the Form 16 specifies minimum academic preparation: "Ph.D. required by 9/16/90," for example or "Ph.D. required by beginning date of appointment." The option then exists to consider ABD applicants during the search process and to submit such an applicant as the successful candidate on the Form 17. The Form 17 should specify that the appointment is contingent upon completion of all doctoral requirements by the beginning date of appointment. (Please refer to footnote.)

With respect to the above approach, difficulties have occasionally arisen when, contrary to expectations, the ABD person approved on the Form 17 does not complete the doctorate by the beginning date of the appointment. In such cases units may either (1) delay the starting date of the appointment until the candidate has met the minimum degree requirements and then process a PAF to put the individual on the payroll, or (2) in cases of necessity, request an exemption to hire the individual as a teaching specialist for a temporary period not to exceed one year. Appointment as an assistant professor would then follow upon completion of the Ph.D. as specified in the original Forms 16 and 17. A new search is not required in this situation. (Please refer to footnote.)

The PAF subsequently prepared to implement the initial appointment as assistant professor should be accompanied by one of the following: (1) certification from an authorized university official such as the Registrar or Graduate School Dean that all degree requirements have been met as of a specific date, (2) a copy of the transcript showing the date of the degree, or (3) a photo of the degree certificate. Please note that notification that the applicant has successfully defended the dissertation is not the equivalent of official confirmation that all degree requirements have been met.

Under exceptional circumstances a unit may wish to entertain the possibility of employing an ABD applicant in a probationary faculty position that ultimately requires a Ph.D. The Form 16 and the advertising should specify that the hire will be at the rank of assistant

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professor if the successful candidate has the doctorate and at the rank of instructor for an ABD. The assumption here is that if an ABD individual is considered, one really is looking for a Ph.D. but is willing to make a certain accommodation. However, such arrangements should be defined in the letter of offer. The letter would normally specify a date for completion of the Ph.D. and notice that employment will be terminated if the Ph.D. is not completed by that time. Non-renewal in such cases must follow the notice provisions specified in the Regulations Concerning Faculty Tenure. Probationary instructors earning degrees at institutions other than the University of Minnesota need to be informed that their service as probationary instructors is credited under the tenure Regulations toward the maximum six-year period.

If you have any questions about this matter, Ms. Ann Bailly (624-6556) or Ms. DeeAnn Olsen (625-0376) in my office would be happy to assist you.

cc: Dr. Nils Hasselmo, President
University Vice Presidents
Ms. Patricia Mullen, Director, Office of Equal Employment and
Affirmative Action
Collegiate and Vice Presidential EEO Officers

SEARCH COMMITTEE GUIDELINES

--as approved by the University Senate
April 17, 1980 and amended May 14, 1987.

I. Purpose of Search Committees*

Search committees are expected to seek out and identify the best qualified nominees available for administrative positions, irrespective of sex, religion, race, national, origin, age, or any other criteria violating equal opportunity statutes. One reason for the use of search committees is to assure that all primary constituencies served by the office will have a voice in the identification of nominees. A second is to take advantage of the knowledge that these constituencies have of the necessary qualifications for the position and of potential sources of nominees.

II. University Administrative Positions for Which Search Committees Should Be Formed

Search committees should be established to fill major University administrative positions which serve multiple student, faculty, civil service, and/or administrative constituencies. Among these positions are those of President**, the various Vice Presidents, the Deputy Vice President and Dean of the Institute of Agriculture, Forestry and Home Economics, Dean of the Graduate School, Provosts of the coordinate campuses, Vice Provosts for Academic Affairs, Deans of all collegiate units, and the Director of University Libraries. This list does not preclude formation of search committees to fill other administrative positions when the President and the Senate Consultative Committee mutually deem the interest of the University to be served thereby.

The length, range, and mechanics of the search process will depend on the nature of the position, the complexity of its constituencies, and the number and diversity of potential candidates. Committee composition will also vary. The search process for the key academic officers should be most thorough, in recognition of their multiple constituencies. But a more abbreviated approach may be suitable for such positions as Vice President for Institutional Relations, Vice President for Administration and Planning, and Vice President for Finance, in recognition of their unique relationship with the President. The President and the Senate Consultative Committee should work out mutually agreeable search procedures for filling these positions.

III. Formation of Search Committees

Members of search committees and their chairpersons shall be chosen by the President (or the President's agent) after consultation with appropriate Senate, campus, University, or collegial bodies representative of the constituencies clearly affected by the appointment. In the case of the central administrative officials, the appropriate body shall be the Senate Consultative Committee. Reference should be made to college constitutions for any specific requirements of individual colleges for the composition of search committees for Deans.

*The term "search committee" as used in these guidelines designates any committee constituted for the purpose of performing any or all of the functions of compiling lists of candidates for vacant positions, screening (and eliminating) candidates in accord with agreed-upon selection criteria, and determining the slate of nominees for submission to the President.

**The selection of the University President is the legal responsibility of the Board of Regents. The search committee for this office is drawn from members of the Board. This

committee has customarily asked that the Senate Consultative Committee function as an advisory committee, and has delegated to it responsibility for certain aspects of the search. It is hoped that the policies outlined in this statement will govern the work of such an advisory committee.

The number of committee members will vary depending on the complexity of the constituent relationships of the position, but since large committees often find it difficult to organize as working groups, committees should be limited as a general rule to no more than ten members.

Membership on search committees shall not be based upon quotas for any minority group or other protected class. It is the responsibility of each member of all search committees to be aware of and to carry out the affirmative action policies of the University of Minnesota.

If a member of a search committee is nominated to the position being searched, and if the member allows his/her name to remain on the list of active nominees, the member should promptly resign from the committee.

IV. Charge to Search Committees

The President (or the President's agent) shall instruct each member of the committee in writing as to the following:

- A) Approximate date for submission of list of nominees.
- B) Number of nominees.
- C) Affirmative Action/Equal Opportunity requirements including these guidelines. The committee should also consult with the Equal Opportunity Officer at the outset of the search.
- D) Arrangements for financial and staff resources (including provisions for travel, long-distance telephone calls, meals, and housing).
- E) Personal responsibility of each member for affirmative action and confidentiality.
- F) Need for keeping minutes of meetings and records of committee decisions.
- G) Any unique concerns with respect to the position.

The committee has the prerogative of discussing with the President (or the President's agent) any of the terms of the charge.

V. Committee Procedures

A. Formulating the Position Description

The position description, to be prepared by the committee in collaboration with the President (or the President's agent), shall include a full account of the responsibilities of the position and describe the educational background, experience, and competencies desired of the candidates. It should specify those criteria that will be given weight in making the selection and should indicate the information to be provided about each nominee or applicant.

B. Post the Position

The President (or the President's agent), or the chairperson shall file

notification of the availability of the position in the office of the Vice President for Academic Affairs and the appropriate publications, taking care that women and members of minority groups and other protected classes are made aware of the vacancy. Members of the committee are urged to inform their respective constituencies as to the position description and the selection criteria. Often, well-qualified candidates will not volunteer their names for such positions. In addition to advertising, therefore, the members of the committee should make every effort to contact knowledgeable sources off and on campus for names of the best qualified individuals, including women and members of minority groups, and names of institutions at which such potential candidates are most likely to be found.

C. Selection Process

Each committee will establish its own plan for screening and evaluating nominees and applicants. Whatever procedures the committee may elect to employ in arriving at its slate, the entire committee is responsible for the legitimacy of the process. Every member at every stage of the search shall have full access to the names and files of all persons under consideration.

The function of initial screening is to identify and eliminate, early in the search process, nominees and applicants who are clearly unqualified. Unwillingness on the part of nominees with obviously exceptional qualifications should not militate against eventual consideration until it is definitely established that the potential candidate cannot be persuaded to become interested in the position. The list of persons who remain under consideration after the initial screening will be those of whom the committee will be giving careful consideration and about whom the committee may be seeking additional information. Responsibility for requesting such information should be clearly delegated and its form clearly specified. Agreement should be reached as to assurances of confidentiality to be sought and assurances to be given.

When the committee has narrowed its list to those candidates whom it wishes to interview, the chairperson and the President (or the President's agent) should collaborate in making arrangements for the interviews. The committee may wish to develop a set of questions to be directed to each candidate, but committee members should not be limited arbitrarily to such a list.

Although the committees will wish to seek consensus on the slate of nominees to be submitted, a formal vote should be taken by secret ballot and the results recorded. No committee member should divulge, without authorization of the full committee, the results of the voting. Only the names of fully qualified candidates should be included on the final slate. The committee's list of nominations should then be communicated by the chairperson to the President (or the President's agent). The committee or the President may also wish to schedule a meeting for mutual discussion of the slate.

D. Communicating with Nominators and Applicants

All nominations and/or applications should be courteously acknowledged, and so far as possible candidates should be apprised promptly of elimination from consideration. It is particularly important that the persons who have been interviewed be promptly informed when an appointment is made. Files should be kept on each candidate and carbons of all correspondence. Throughout the entire

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process, insofar as it is possible, candidates should be treated alike. Every precaution should be taken to restrict materials to the eyes of committee members and committee staff.

E. Responsibility of Individual Members for Affirmative Action and Discretion

It is the responsibility of any member of a search committee who recognizes that proper affirmative action procedures are not being followed to communicate this concern immediately and privately to both the chairperson of the committee and the Director of the Office of Equal Opportunity and Affirmative Action. If this does not result in a resolution of the difficulty, the committee member should then communicate directly with the President (or the President's agent).

F. Filing Affirmative Action Reports

The President (or the President's agent) (in collaboration with the appropriate equal opportunity officer and the Director of the Office of Equal Opportunity and Affirmative Action) shall instruct the chairperson of the committee as to what official reports are to be filed. The chairperson shall file the necessary reports promptly and accurately. Before submitting its final slate to the President, it is the committee's responsibility to inform the Equal Opportunity Officer of the make-up of the pool of applicants and of those candidates interviewed.

G. Disposition of Files

Promptly after the position is filled and all affirmative action reports are submitted, but not until then, the chairperson shall be responsible for reviewing all applicants' files. After personal data are returned to the applicants or to other sources requesting them, the files shall be disposed of in accordance with current applicable laws and regulations, available to the chairperson in the office of the University Attorney.

VI. General Statement on the Relationship of the President (or the President's agent) and Search Committees

The mutual desired end of filling positions with those persons best qualified to occupy them will be best achieved if channels between the President (or the President's agent) and committees are kept open. Like any other interested person, the President (or the President's agent) may submit nominees at the appropriate time for the consideration of the committee, and at any point in the search may inquire as to the committee's progress. The committee, on the other hand, may ask for suggestions or guidance from the President (or the President's agent) or for a reexamination of the charge. Since the purpose of the search is to attract top talent acceptable both to the search committee and the President (or the President's agent), there should be a close working relationship between the two.

After submitting its final slate, the committee should expect in the case of long delay in filling the position some explanation of the difficulty. When committee nominees are unavailable for appointment, or unacceptable to the President (or the President's agent), the committee may be asked to provide additional nominees. In such a contingency a full explanation of the circumstances requiring reopening of the search process should be rendered to the committee. The committee may decline to participate in any further search.

When a search committee is unable, for whatever reason, to fulfill its charge, the

President (or the President's agent) may discharge it.

Since conformity to affirmative action requirements is imperative and the committee's responsibilities in this area are obligatory, the committee chairperson may wish at any point in the search process to seek information from the Equal Opportunity Officer. Doubts about the legality of the procedures being followed should be resolved when they arise.

ADDENDUM TO SEARCH COMMITTEE GUIDELINES APPROVED BY THE UNIVERSITY SENATE MAY 14, 1987:

Section VI of the April 17, 1980, Senate resolution on search committee guidelines should be supplemented with the following:

The responsible (hiring) officer, or the officer's agent, should meet directly with the search committee at certain key junctures of the search, including but not limited to (a) the selection of a set of candidates to be interviewed and (b) a discussion of all interviewed candidates at the conclusion of the interviews. Individuals to be interviewed will be jointly selected by the search committee and the responsible official. At the close of the interviews, and after further direct consultation with the responsible official, the search committee will consider whether any of the interviewed candidates are unacceptable. The responsible official, who will have been informed of the committee's views of the relative merits of the candidates from the direct consultation, may appoint the interviewed candidate who has been judged acceptable by the committee.

**University of Minnesota
Board of Regents Policy**

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**EQUAL OPPORTUNITY AND AFFIRMATIVE
ACTION**
Policy Statement on Women Academic
Employees
Adopted: July 13, 1990
Amended:
Supersedes:

AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY

Policy Statement on Women Academic Employees

WHEREAS, the Rajender consent decree expires in January, 1991, and whereas the Regents of the University of Minnesota wish to adopt a policy which will guide the University with respect to the class of employees covered by the decree, that is, all female academic non-student employees.

BE IT RESOLVED, that the following be the policy of the University of Minnesota with respect to women academics:

The University of Minnesota shall not tolerate discriminatory practices against women in any personnel actions including instruction, hiring, evaluation, promotion, pay or any form of institutional reward or recognition.

In acting toward this end, the University will actively discourage and work toward elimination of actions and practices that devalue, trivialize, or make peripheral the contributions, perspectives or accomplishments of women.

The University recognizes and values diversity within its community and will act to take such diversity into account in institutional planning, organization and decision-making.

The personnel policy and practice of the institution shall not only be nondiscriminatory but will encourage active measures to increase the diversity of the academic community. The University will consistently seek to increase the number of opportunities to hire, promote, and retain women in faculty and administrative positions. The University shall have in place procedures to assure achievement of these objectives.

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University of Minnesota Board of Regents Policy

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**EQUAL OPPORTUNITY AND AFFIRMATIVE
ACTION**
Policy Statement on Women Academic
Employees
Adopted: July 13, 1990
Amended:
Supersedes:

The Office of Equal Employment Opportunity and Affirmative Action shall develop and maintain appropriate statistical analysis of the gender composition of persons available for appointment to academic positions in accordance with law and shall develop and maintain numerical goals for the hiring of women in accordance with law. In any hiring decision for a position in which the availability statistics and numerical goals indicate an underrepresentation of women, the University shall consider gender in selecting between two or more candidates with approximately equal qualifications.

Another keystone of the effort will be the maintenance of an adequate and accessible data base and systematic review of all personnel policies and actions, such as salary equity, performance reviews, grievance procedures, promotion activity, for any indication of disparate treatment of women or disparate impact on them.

The implementation of this policy shall be the direct responsibility of the President of the University who shall appropriately delegate it to the line officers of the institution. The President shall offer strong incentives and training for administrators at all levels, especially the department level, to carry out these responsibilities, shall carefully monitor their setting of goals and achievement of objectives in this area, and shall hold them accountable for the full and faithful execution of them. Ultimate responsibility for such policies rests with this Board of Regents.

The Senate Committee on Equal Employment Opportunity for Women will advise the Senate and the University administration regarding effective implementation of this policy.

The President shall direct the University's Equal Opportunity Officer to prepare an annual report on all phases of this policy for presentation to the Board of Regents and to the Senate Committee on Equal Employment Opportunity for Women.

These procedures and policies shall not preclude the operation or adoption of similar policies regarding race or other protected classes.



UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of Equal Opportunity and Affirmative Action
419 Morrill Hall
100 Church Street S.E.
Minneapolis, Minnesota 55455
(612) 624-9547

February 6, 1990

MEMORANDUM

TO: Collegiate and *Patricia A. Mullen* Equal Opportunity Officers

FROM: Patricia A. Mullen, Director and University Equal
Equal Opportunity Officer

RE: 1) Goals and Timetable for Faculty, FCE014-1, 1/8/90
2) Hiring Plan Supplement for Faculty Searches, FCE047,
1/23/90
3) Availability Data for Faculty, FEC012-1, 1/8/90

The faculty workforce, goals and hiring plan supplement reports for your area are enclosed. The workforce portion of the reports is based on the 10/16/89 - 10/31/89 payrolls, replacing last year's reports, dated 1/6/89.

The faculty workforce and goal report, 94XX classes only, are to be shared with search committees to determine if there is a female or minority goal for the faculty position being filled. The appropriate goal category is based on the rank and appointment type, tenured, tenure-track or temporary. When the female or minority number to goal, "NBR-GOAL", is "0.5" or greater, the preference clause of the District Court Consent Decree may apply when there are qualified female candidates.

The hiring plan supplement report is to be reviewed by the search committee to determine if special advertising is required, and on that basis, develop a plan to recruit women and minorities: If the percentage of female applicants or seriously considered female applicants in the category is lower than the percentage of female availability, the hiring plan must include the specific advertising described on the reverse side of the Form 16.

Additionally, a separate report with faculty availability by specialty, race (Black, Asian, American Indian and Hispanic) and sex is enclosed. These data are summarized in the hiring plan supplement by specialty, sex and total minority. Female and minority availability percentages are reflected in the goals report.

Lastly, please remind search committees to use the Form 24 to measure the quality of the pool in recruiting and considering women, minorities, disabled veterans, Vietnam Era veterans and disabled individuals during all phases of the search and selection process.

Enclosures *J*

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**EXPLANATION FOR HIRING PLAN SUPPLEMENT, FCE047-1
1989-90**

Section I E 3,4; VI F2 and Exhibits A & B, Consent Decree

The FCE047-1 report, "Hiring Plan Supplement for Faculty Searches", dated 1/23/90, provides summary data of faculty workforce, availability, and applicant flow by parent department as stipulated by the Consent Decree. Within parent department these data are further summarized by appointment type: tenured (P), tenure-track (N), and non-tenured (T). These data are provided for "Total" (Male and Female), total "Male" (number and percent), total "Female" (number and percent), and total "Minority" (number and percent) in each section with the exception of "Applicant Flow" which does not include minority data. The minority category includes Asian, American Indian, Black and Hispanic individuals as defined on the President Form 20, Racial/Ethnic Group Identification.

Faculty Workforce

The "Faculty" workforce portion of the report includes only faculty appointments in the 94xx classes who were paid on the October 16-31, 1989, payroll. The 94xx faculty classes are professor (9401), associate professor (9402), assistant professor (9403), instructor (9404), research associate (9406), research fellow (9407), and regents professor (9410). Chair (9360), head (9361), and director (9362) are also included, however, these individuals may show up in the non-tenured (T) category if the program identified the appointment type for these titles instead of their regular faculty appointment. Faculty on leave without pay are not included. Adjunct (A) and visiting faculty (V) are included in the non-tenured (T) category.

A list of individual faculty members by parent department is available on the C045-3 report, "Academic Personnel Data by Parent Department". This report is not available for public distribution. However, it is available on a case by case basis to verify the accuracy of summary reports.

Availability Data

The "Availability" section of the report provides degree-awarded statistics for the years 1974 through 1988 by source and fine field, as updated since the original selection by University departments in April, 1980. The two-digit source code and the three-digit fine field code are located in the "Source" column directly under the three tenure categories (P), (N), and (T). The current, "Source List for Faculty Availability Data, October 1988" includes sources 01 through 16. The fine field codes are identified on the "Specialities List" which is extracted from the Summary Report, Doctorate Recipients From United States Universities, 1988, Source 01.

The tenured (P) category includes statistics for the years 1974 through 1983 while the tenure-track (N) and non-tenured (T) categories include statistics for the years 1984 through 1988 and, where more than one academic field is listed within a category, the statistics are totaled as specified by the Consent Decree, Exhibit B, 2b.

These availability data are to be compared with the department's current "Faculty" workforce by category to determine whether the assignment of preference to a particular hire is required by the Consent Decree. That is, if the percentage (PCT) of a departmental female faculty is the tenure category in which the hire is being made is lower than the average availability percentage for that tenure category, and if the male and female applicants for the position are approximately equally qualified, preference shall be given to a female candidate over another candidate who is not also a member of protected class (See Consent Decree, IB: I, E, 3; Exhibit B2, b).

Applicant Flow (1984-1988)

The "Applicant Flow" portion of the report contains statistics collected from the President Form 17, "Summary of the Affirmative Action Process Assuring Equal Employment Opportunity in Academic Appointments", for faculty positions approved by the Office of Equal Opportunity and Affirmative Action from July 1, 1984, through October 31, 1989. This time frame covers the most current five-year period for which these data are required by the Consent Decree, page 5. These data include only faculty classes in the 94xx series as defined by the Office of the Vice President for Academic Affairs and as reported on the EEO-6 report, "Higher Education Staff Information", in EEO-6 category 2, faculty. Please refer to the Faculty Workforce portion of this explanation for a list of current faculty classes.

These data on applicant flow include those who applied for a position (APPLN), those who were seriously considered (SR/CN), and those who were hired (Hires) as reported on President Form 17. These data do not include statistics from the Form 17 approved with an exemption from the Form 16.

Before the President Form 16, "Description of Available Academic Position at the University of Minnesota", is completed, these applicant flow data are to be compared with departmental availability data by tenure category to determine whether the special advertising requirements of the Consent Decree, I, E, 4 and Exhibit B2, b and B4 are applicable. That is, if the percentage (PCT) of female applicants, or seriously considered female applicants (SR/CN) in the category is lower than the availability data for females in that category, the steps outlined in Exhibit B, Paragraph 4 of the Consent Decree must be implemented. This requirement pertains only to faculty positions, 94xx classes, in the tenure (P) and tenure-track (N) categories. You may also refer to the reverse side of the President Form 16.

ATTACHMENT I: Source List for Faculty Availability Data, November, 1988.
ATTACHMENT II: Specialities List, 1988.

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OFFICE OF EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION
University of Minnesota
419 Morrill Hall

**Source List for Faculty Availability Data
November 1989**

1. Summary Report, Doctorate Recipients From United States Universities, National Research Council (1974-1988).
2. Professional Women and Minorities, A Manpower Data Resource Service (Second Edition), Scientific Manpower Commission, Washington, D.C., Seventh Edition, December, 1987.
3. Availability Data, In Academic Professions and Related Occupations (Second Edition), Affirmative Action Offices, University of Colorado, December, 1983.
6. Appointments Register of the Association of American Law Schools, 1976-1984.
7. Graduates, U.S. Dental Schools, by Race and Sex, 1972-86, Table 3-2 and 8-22, (Refer to Source 2, pp. 72, 212).
8. Degrees and Certificates Awarded by U.S. Library Education Programs, American Library Association, Office for Library Personnel Resources; 1975-86 (ALA-Accredited Master's).
11. College Art Association (CAA) Annual Placement Reports, 1976-86.
12. 1978-79 Survey Summary, NUEA Survey Research Committee, National University Extension Association.
14. Master's Degrees Conferred, Dramatic Arts (Visual and Performing Arts for Minorities), 1972-86, National Center for Educational Statistics and U.S. Department of Education, OCR (Refer to Source 02, Tables 2-13 to 2-16).
15. University of Minnesota, Degrees Conferred, B.S. (Mortuary Science), 1971-1985.
16. Journal of the American Medical Association, M.D. Graduates, 1974-1987.

Doctorate Recipients From United States Universities, 1974-1988 (Source 01).

SPECIALTIES LIST

001 AGRICULTURE

- 001 Agricultural Economics
- 002 Agricultural Business & Mgmt.
- 005 Animal Breeding & Genetics
- 010 Animal Nutrition
- 012 Dairy Science
- 014 Poultry Science
- 055 Fisheries Sciences
- 019 Animal Sciences, Other*
- 020 Agronomy
- 025 Plant Breeding & Genetics
- 030 Plant Path. (See also 120)
- 032 Plant Protection-Pest Mgmt.
- 039 Plant Sciences, Other*
- 042 Food Distribution
- 043 Food Engineering
- 044 Food Sciences, Other*
- 046 Soil Chemistry/Microbiology
- 049 Soil Sciences, Other*
- 050 Horticulture Science
- 066 Forest Biology
- 068 Forest Engineering
- 070 Forest Management
- 072 Wood Science
- 074 Renewable Natural Resources
- 079 Forestry & Related Sci., Other*
- 080 Wildlife/Range Management
- 098 Agriculture, General
- 099 Agricultural Sciences, Other*

BIOLOGICAL SCIENCES

- 100 Biochemistry
- 105 Biophysics
- 110 Bacteriology
- 115 Plant Genetics
- 120 Plant Path. (See also 030)
- 125 Plant Physiology
- 129 Botany, Other*
- 130 Anatomy
- 133 Biometrics & Biostatistics
- 136 Cell Biology
- 139 Ecology
- 142 Embryology
- 145 Endocrinology
- 148 Entomology
- 151 Immunology
- 154 Molecular Biology
- 157 Microbiology
- 160 Neurosciences
- 163 Nutritional Sciences
- 166 Parasitology
- 169 Toxicology
- 170 Genetics, Human & Animal
- 175 Pathology, Human & Animal
- 180 Pharmacology, Hum. & Anim.
- 185 Physiology, Human & Animal
- 189 Zoology, Other*
- 198 Biological Sciences, General
- 199 Biological Sciences, Other*

HEALTH SCIENCES

- 200 Audiology & Speech Pathology
- 210 Environmental Health
- 215 Public Health
- 220 Epidemiology
- 230 Nursing
- 240 Pharmacy
- 250 Veterinary Medicine
- 298 Health Sciences, General
- 299 Health Sciences, Other*

ENGINEERING

- 300 Aerospace, Aeronautical & Astronautical
- 303 Agricultural
- 306 Bioengineering & Biomedical
- 309 Ceramic
- 312 Chemical
- 315 Civil
- 318 Communications
- 321 Computer
- 324 Electrical, Electronics
- 327 Engineering Mechanics
- 330 Engineering Physics
- 333 Engineering Science
- 336 Environmental Health Engin.

- 339 Industrial
- 342 Materials Science
- 345 Mechanical
- 348 Metallurgical
- 351 Mining & Mineral
- 354 Naval Arch. & Marine Engin.
- 357 Nuclear
- 360 Ocean
- 363 Operations Research (See also 465, 930)
- 366 Petroleum
- 369 Polymer
- 372 Systems
- 398 Engineering, General
- 399 Engineering, Other*

COMPUTER AND INFORMATION SCIENCES

- 400 Computer Sciences*
- 410 Information Sci. & Systems*

MATHEMATICS

- 420 Applied Mathematics
- 425 Algebra
- 430 Analysis & Functional Analysis
- 435 Geometry
- 440 Logic (See also 785)
- 445 Number Theory
- 450 Probability & Math. Statistics (See also 690)
- 455 Topology
- 460 Computing Theory & Practice
- 465 Operations Research (See also 363, 930)
- 498 Mathematics, General
- 499 Mathematics, Other*

PHYSICAL SCIENCES

Astronomy

- 500 Astronomy
- 505 Astrophysics

Atmospheric & Meteorological Sciences

- 510 Atmospheric Physics & Chem.
- 512 Atmospheric Dynamics
- 514 Meteorology
- 518 Atmos. & Meteor. Sci., Gen.
- 519 Atmos. & Meteor. Sci., Other*

Chemistry

- 520 Analytical
- 522 Inorganic
- 524 Nuclear
- 526 Organic
- 528 Pharmaceutical
- 530 Physical
- 532 Polymer
- 534 Theoretical
- 538 Chemistry, General
- 539 Chemistry, Other*

Geological Sciences

- 540 Geology
- 542 Geochemistry
- 544 Geophysics & Seismology
- 546 Paleontology
- 548 Mineralogy, Petrology
- 550 Stratigraphy, Sedimentation
- 552 Geomorphology & Glacial Geol.
- 554 Applied Geology
- 558 Geological Sciences, General
- 559 Geological Sciences, Other*

Physics

- 560 Acoustics
- 561 Atomic & Molecular
- 562 Electron
- 564 Elementary Particle
- 566 Fluids
- 568 Nuclear
- 569 Optics
- 570 Plasma
- 572 Polymer
- 574 Solid State
- 578 Physics, General
- 579 Physics, Other*

Other Physical Sciences

- 580 Environmental Sciences
- 585 Hydrology & Water Resources
- 590 Oceanography
- 595 Marine Sciences
- 599 Physical Sciences, Other*

PSYCHOLOGY

- 600 Clinical
- 603 Cognitive
- 606 Comparative
- 609 Counseling
- 612 Developmental
- 615 Experimental
- 618 Educational (See also 822)
- 621 Industrial & Organizational (See also 935)
- 624 Personality
- 627 Physiological
- 630 Psychometrics
- 633 Quantitative
- 636 School (See also 825)
- 639 Social
- 648 Psychology, General
- 649 Psychology, Other*

SOCIAL SCIENCES

- 650 Anthropology
- 652 Area Studies
- 658 Criminology
- 662 Demography
- 666 Economics
- 668 Econometrics
- 670 Geography
- 674 International Relations
- 678 Political Sci. & Government
- 682 Public Policy Studies
- 686 Sociology
- 690 Statistics (See also 450)
- 694 Urban Studies
- 698 Social Sciences, General
- 699 Social Sciences, Other*

HUMANITIES

History

- 700 History, American
- 705 History, European
- 710 History of Science
- 718 History, General
- 719 History, Other*

Letters

- 720 Classics
- 723 Comparative Literature
- 729 Linguistics
- 732 Literature, American
- 733 Literature, English
- 734 English Language
- 736 Speech & Debate
- 738 Letters, General
- 739 Letters, Other*

Foreign Languages and Literature

- 740 French
- 743 German
- 746 Italian
- 749 Spanish
- 752 Russian
- 755 Slavic (other than Russian)
- 758 Chinese
- 762 Japanese
- 765 Hebrew
- 768 Arabic
- 769 Other Languages*

Other Humanities

- 770 American Studies
- 773 Archeology
- 776 Art History & Criticism
- 780 Music
- 785 Philosophy (See also 440)
- 790 Religion (See also 984)
- 795 Theatre
- 798 Humanities, General
- 799 Humanities, Other*

EDUCATION

- 800 Curriculum & Instruction
- 805 Educ. Administration & Supervision
- 810 Educational Media
- 815 Educ. Stat. & Research
- 820 Educ. Testing, Evaluation & Measurement
- 822 Educational Psychology (See also 618)
- 825 School Psychology (See also 636)
- 830 Social Foundations
- 835 Special Education
- 840 Student Counseling & Personnel Services
- 845 Higher Education Research

Teacher Education

- 850 Pre-elementary
- 852 Elementary
- 856 Secondary
- 858 Adult & Continuing

Teaching Fields

- 860 Agricultural Educ.
- 861 Art Educ.
- 862 Business Educ.
- 864 English Educ.
- 866 Foreign Languages Educ.
- 868 Health Educ.
- 870 Home Economics Educ.
- 872 Industrial Arts Educ.
- 874 Mathematics Educ.
- 876 Music Educ.
- 878 Nursing Educ.
- 880 Physical Educ.
- 882 Reading Educ.
- 884 Science Educ.
- 885 Social Science Educ.
- 886 Speech Educ.
- 887 Technical Educ.
- 888 Trade & Industrial Educ.
- 889 Teacher & Educ. Specific Subject Areas, Other*
- 898 Education, General
- 899 Education, Other*

PROFESSIONAL FIELDS

Business & Management

- 900 Accounting
- 905 Banking & Finance
- 910 Business Admin. & Management
- 915 Business Economics
- 920 Marketing Mgmt. & Research
- 925 Business Statistics
- 930 Operations Research (See also 363, 465)
- 935 Organiz. Beh. (See also 621)
- 938 Business & Mgmt., General
- 939 Business & Mgmt., Other*

Communications

- 940 Communications Research
- 945 Journalism
- 950 Radio & Television
- 958 Communications, General
- 959 Communications, Other*

Other Professional Fields

- 960 Architect. & Environ. Design
- 964 Home Economics
- 968 Law
- 972 Library & Archival Science
- 976 Public Administration
- 980 Social Work
- 984 Theology (See also 790)
- 988 Professional Fields, General
- 989 Professional Fields, Other*
- 999 OTHER FIELDS*

*SOURCE: Summary Report 1988 - Doctorate Recipients from U.S. Universities (National Research Council)

Sexual Orientation or AIDS Discrimination

(E.O. No. 86-14)

Executive Order No. 86-14, signed by Governor Rudy Perpich in November 19, 1986 and effective December 23, 1986, prohibits public employers from discriminating against any employee or job applicant because of that person's sexual orientation or because of his/her suffering from AIDS.

I, RUDY PERPICH, GOVERNOR OF THE STATE OF MINNESOTA, by virtue of the authority vested in me by the Constitution and the applicable statutes, do hereby issue this Executive Order:

WHEREAS, the inalienable right of privacy for all Minnesotans must be vigorously enforced; and

WHEREAS, government must not allow discrimination or harassment on the basis of sexual orientation; and

WHEREAS, all state workers have the right to work environment free from hostile, intimidating, or offensive behavior, and

WHEREAS, Acquired Immune Deficiency Syndrome (AIDS) has become a major public health problem;

NOW, THEREFORE, I hereby order that:

The agencies, departments, boards and commissions within the Executive Branch of state government and under the jurisdiction of the Governor:

1. Shall not discriminate in state employment against any individual

based on the person's sexual orientation including, but not limited to, recruitment, hiring, promotion, tenure, and compensation.

2. Shall provide a work environment free of harassment, which is a form of discrimination and in general is the display of behavior by one employee toward another which has the purpose or effect of unreasonable interfering with an individual's work performance or creating a hostile, intimidating, or offensive work environment.

3. Shall provide that no employee shall be discriminated against because of his or her AIDS status, including testing, removal from normal and customary status, or deprivation of any rights, privileges, or freedoms, except for clearly stated and specific medical and/or public health reasons.

Pursuant to Minnesota Statutes, Section 4.035, this Order shall be effective fifteen (15) days after publication in the State Register and filing with the Secretary of State and shall remain in effect until rescinded by proper authority or it expires in accordance with Minnesota Statutes, Section 4.035, Subdivision 3.

Equal Employment Opportunity is the

LAW

Private Employment, State and Local Governments, Educational Institutions

Race, Color, Religion, Sex, National Origin:

Title VII of the Civil Rights Act of 1964, as amended, prohibits discrimination in hiring, promotion, discharge, pay, fringe benefits, and other aspects of employment, on the basis of race, color, religion, sex or national origin.

Applicants to and employees of most private employers, state and local governments and public or private educational institutions are protected. Employment agencies, labor unions and apprenticeship programs also are covered.

Age:

The Age Discrimination in Employment Act of 1967, as amended, prohibits age discrimination and protects applicants and employees 40 years of age or older from discrimination in hiring, promotion, discharge, pay, fringe benefits and other aspects of employment. The law covers most private employers, state and local governments, educational institutions, employment agencies and labor organizations.

Sex (wages):

In addition to sex discrimination prohibited by Title VII of the Civil Rights Act (see above), the Equal Pay Act of 1963, as amended, prohibits sex discrimination in payment of wages to women and men performing substantially equal work in the same establishment. The law covers most private employers, state and local governments and educational institutions. Labor organizations cannot cause employers to violate the law. Many employers not covered by Title VII, because of size, are covered by the Equal Pay Act.

If you believe that you have been discriminated against under any of the above laws, you immediately should contact:

The U.S. Equal Employment Opportunity Commission

2401 E Street, N.W., Washington, D.C. 20507
or an EEOC field office by calling toll free 800-USA-EEOC.
(For the hearing impaired, EEOC's TDD number is 202-634-7057.)

Employers holding Federal contracts or subcontracts

Race, Color, Religion, Sex, National Origin:

Executive Order 11246, as amended, prohibits job discrimination on the basis of race, color, religion, sex or national origin, and requires affirmative action to ensure equality of opportunity in all aspects of employment.

Handicap:

Section 503 of the Rehabilitation Act of 1973, as amended, prohibits job discrimination because of handicap and requires affirmative action to employ and advance in employment qualified handicapped individuals who, with reasonable accommodation, can perform the functions of a job.

Vietnam Era and Special Disabled Veterans:

38 U.S.C. 2012 of the Vietnam Era Veterans Readjustment Assistance Act of 1974 prohibits job discrimination and requires affirmative action to employ and advance in employment qualified

Vietnam era veterans and qualified special disabled veterans.

Applicants to and employees of companies with a Federal government contract or subcontract are protected under the authorities above. Any person who believes a contractor has violated its non-discrimination or affirmative action obligations under Executive Order 11246, as amended, Section 503 of the Rehabilitation Act or 38 U.S.C. 2012 of the Vietnam Era Veterans Readjustment Assistance Act should contact immediately:

The Office of Federal Contract Compliance Programs (OFCCP)

Employment Standards Administration, U.S. Department of Labor,
200 Constitution Avenue, N.W., Washington, D.C. 20210
(202) 523-8743, or an OFCCP regional or area office, listed in most telephone directories under U.S. Government, Department of Labor.

Programs or activities receiving Federal financial assistance

Handicap:

Section 504 of the Rehabilitation Act of 1973, as amended, prohibits employment discrimination on the basis of handicap in any program or activity which receives Federal financial assistance. Discrimination is prohibited in all aspects of employment against handicapped persons who, with reasonable accommodation, can perform the essential functions of a job.

Race, Color, National Origin:

In addition to the protection of Title VII of the Civil Rights Act of 1964, Title VI of the Civil Rights Act prohibits discrimination on the

basis of race, color or national origin in programs or activities receiving Federal financial assistance. Employment discrimination is covered by Title VI if the primary objective of the financial assistance is provision of employment, or where employment discrimination causes or may cause discrimination in providing services under such programs.

If you believe you have been discriminated against in a program which receives Federal assistance, you should contact immediately the Federal agency providing such assistance.

MWDD

Minority & Women Doctoral Directory

2425B Channing Way, Suite 551

Berkeley, CA 94704

(415) 548-4688, ext. 551

September 1990

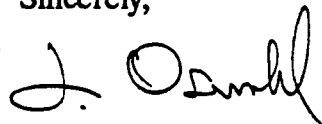
Dear Colleague:

We are pleased to announce the first annual publication of the Minority & Women Doctoral Directory (MWDD). The Directory, which will be available October 1st, is the first national directory of minority and women doctoral students who have recently received or are soon to receive their doctoral degree from approximately sixty major research universities in the United States. The Directory lists approximately 2,100 Black, Hispanic, American Indian, Asian American and women students in nearly 55 fields in the sciences, engineering, the social sciences and the humanities. Each entry includes name, local/permanent address and telephone number(s), ethnicity, department and areas of specialization, date of completion, dissertation title, and name and address of the faculty advisor. Entries are indexed by field of study. A sample page is reproduced on the reverse side.

If you prefer, you may order one or more departmental listings from the complete Directory. See the enclosed order form for more information, including a numerical breakdown by field of study.

We hope you will find this publication useful in realizing an enlarged pool of qualified minority and women candidates for faculty and/or professional positions on your campus.

Sincerely,



Dr. Linda Oswald, Director
MWDD

OVER

| NAME, LOCAL/PERM. ADDRESS & PHONE | ETHNICITY | DEPARTMENT & SUBJECT AREA(s) | DATE OF COMPLETION | THESIS TITLE | ADVISOR'S NAME AND ADDRESS |
|---|-----------------|--|-----------------------|---|---|
| Orton, Dawn R. 320 Memorial Dr., #725 Cambridge, MA 02139 617-253-7594 1525 E. Hampton Cir. Mesa, AZ 85204 602-892-3708 | White | CHEMICAL ENGINEERING: Biochemical Engineering; Cell Biology; Mammalian Cell Culture. | 5/91 | Gas Interfaces in Mammalian Cell Bioreactors. | Daniel I.C. Wang Dept. of Chemical Engineering MASS. INST. OF TECHNOLOGY Cambridge, MA |
| Pividal, Katherine 47-B Benny St. Newark, DE 19711 302-451-6745 7658 SW 105 Pl. Miami, FL 33173 305-274-4968 | Hispanic | CHEMICAL ENGINEERING: Thermodynamic, Physical Properties. | 10/90 | Measurement and Application of Infinite Dilution Activity Coefficients. | Stanley I. Sandler Dept. of Chemical Engineering UNIVERSITY OF DELAWARE Newark, DE |
| Poole, Loree J. 1500 Chestnut St. Berkeley, CA 94702 415-527-3378 1729 Addison Rd. P.V.E., CA 90274 213-378-3411 | White | CHEMICAL ENGINEERING: Separation Science. | 4/90 | Novel Regenerated Solvent Extrac- tion Processes for the Recovery of Carboxylic Acids or Ammonia from Aqueous Solutions. | C. Judson King Dept. of Chemical Engineering UNIVERSITY OF CALIFORNIA Berkeley, CA |
| Reyes, Hector R. 933B Eagle Heights Madison, WI 53705 608-238-8955 | Puerto Rican | CHEMICAL ENGINEERING: Immobilized Enzymes. | 5/91 | Modification of Milkfat Using an Immobilized Lipase. | Charles G. Hill Dept. of Chemical Engineering UNIVERSITY OF WISCONSIN Madison, WI |
| Romero, Cecily 9208 W. 94th Ave. Westminster, CO 80021 303-492-5936 | Hispanic | CHEMICAL ENGINEERING: Fluid Dynamics; Filtration; Suspensions. | 5/89 | Theoretical Modeling and Experimental Verification of Shear-Induced Hydro- dynamic Diffusion in Crossflow Microfiltration. | Robert Davis Dept. of Chemical Engineering UNIVERSITY OF COLORADO Boulder, CO |
| Savage, Deborah E. MIT 66-525 Cambridge, MA 02139 1137 Osage Ave. W. Columbia, SC 29169 803-796-8488 | White | CHEMICAL ENGINEERING: Environmental Engineering. | 6/91 | Water Purification via Electron Irra- diation in the Presence of Polymer. | E. W. Merrill Dept. of Chemical Engineering MASS. INST. OF TECHNOLOGY Cambridge, MA |

ORDER FORM

1990-91 Minority & Women Doctoral Directory

___ Please send the 1990-91 edition of the Minority & Women Doctoral Directory.

OR

___ Please send the departmental rosters marked below.

DEPARTMENTAL ROSTERS

Listed below are the departments for which individual rosters are available. The number of respondents is listed after each department. Indented Subgroups, such as those under Engineering, are included in the departmental roster under which they appear. Please check which department(s) you wish to order and complete the information at the bottom of the page.

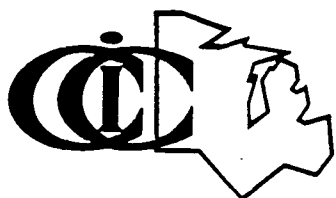
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|----------------------------------|----------------------------------|-------------------------------|
| ___ Anthropology (79) | ___ Engineering (134) | ___ Music (50) |
| ___ Art History (41) | Aerospace (6) | ___ Oriental Lang. & Lit. (5) |
| ___ Biochemistry (36) | Bioengineering/Agricultural (13) | ___ Philosophy (10) |
| ___ Biological Sciences (176) | Civil (22) | ___ Physics (36) |
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Complete Directory: \$90 (\$40 each additional copy)
Departmental Roster: \$30 (\$10 each additional department/copy)

I have enclosed a check or money order for \$ _____ (payable to: MWDD).

Mailing Address: _____

Return to: MWDD, 2425B Channing Way, Suite 551, Berkeley, CA 94704



Committee on Institutional Cooperation

302 East John Street, Suite 1705
Champaign, IL 61820
Telephone: (217) 333-8475

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- University of Illinois
- Indiana University
- University of Iowa
- University of Michigan
- Michigan State University
- University of Minnesota
- Northwestern University
- Ohio State University
- Purdue University
- University of Wisconsin-Madison

CIC DIRECTORY OF MINORITY Ph.D. CANDIDATES AND RECIPIENTS, 1990 ORDER FORM

The Committee on Institutional Cooperation is now accepting orders for the above **Directory** which will be available **September 21, 1990**.

The CIC institutions confer nearly 17% of the Ph.D. degrees awarded annually in the U.S. and are leaders in numbers of minority graduates with the Ph.D. The strong commitment of the universities to minority education has been backed by institutional funds and major grants from the Lilly Endowment, the Mellon Foundation, and other private and governmental agencies.

The 1990 **Directory** lists approximately 220 African American, Hispanic, American Indian, and Asian-American students who have recently completed or will soon complete their doctoral degrees at a CIC university in over 50 different fields in the sciences, (including engineering), the social sciences, and the humanities. Each entry includes name, ethnic identification, address, telephone number, institution, department, field (plus two optional areas of specialization), dissertation title, actual or anticipated date of degree, and faculty advisor. Entries are indexed by field of study. Sample pages are reproduced on the reverse side.

Previous editions of this work have proven to be especially valuable to institutions and firms seeking to enlarge their pool of minority candidates for professional positions. To obtain your copy, please complete this order form and send it with your payment to:

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Puerto Rican

University of Michigan

CURRENT ADDRESS:

Space Physics Research Laboratory
Ann Arbor, MI 48109
TELEPHONE: 313-747-8632

PERMANENT ADDRESS:

Calle 18 #502 Int. Bo. Obrero
Santurce, PR 00918
TELEPHONE:

DEPARTMENT: Atmospheric and Space Science

SPECIALIZATION: Upper Atmosphere

DISSERTATION: Theory and Management of Horizontal Gradients in the
Mid-Latitude Nighttime F2-Layer

PH.D. EARNED: 4/90

ADVISER: C.G. Walker

ENGINEERING/Biomedical Engineering

WILLIAM E. COLLINS

Mexican American

University of Wisconsin - Madison

CURRENT ADDRESS:

Inter. Coop House 140 W. Gilman St.
Madison, WI 53713
TELEPHONE: 608-258-8549
ALT. PHONE: 608-262-8003

PERMANENT ADDRESS:

415 North Locust Street
Centralia, IL 62801
TELEPHONE: 618-532-9102

DEPARTMENT: Chemical Engineering

SPECIALIZATION: Polymer Science

DISSERTATION:

PH.D. EARNED: 8/90

ADVISER: Stuart L. Cooper

ENGINEERING/Chemical

OZIE S. OWEN

Black American

Northwestern University

CURRENT ADDRESS:

7110 South Yale
Chicago, IL 60621
TELEPHONE: 312-723-4665

PERMANENT ADDRESS:

7110 South Yale
Chicago, IL 60621
TELEPHONE: 312-723-4665

DEPARTMENT: Chemical Engineering

SPECIALIZATION: Oxidation Catalysts

DISSERTATION: Role of Lattice Oxygen in Orthovanadate Catalysts

PH.D. EARNED: 9/91

ADVISER: Harold K. King

National Network of Women's Caucuses and Committees in the Professional Associations

Gracia Clark
Contact Person; Co-Convener
Women's Caucus
African Studies Association
200 West Engineering
University of Michigan
Ann Arbor MI 48109
313/764-9986

Jean Higgins
Women's Caucus
American Academy of Religion
Dept. of Religion
Smith College
Northampton MA 01060
413/586-3977

Louisa Stark
Chair
Committee on the Status of Women in Anthropology
American Anthropology Association
1703 New Hampshire Avenue, NW
Washington DC 20009

Sheila McAvey
Assistant Editor, Research & Publications
American Antiquarian Society
185 Salisbury Street
Worcester MA 01609
617/752-5813

Carol Cross
Director of ITC
American Association Women in Community & Junior Colleges
American Assoc of Community & Junior Colleges
One Dupont Circle NW
Suite 410
Washington DC 20036

Anne T. Arsenault
Chairperson
Women's Issues, Status and Education Unit
American Association for Adult and Continuing Education
Merrimack Division
Division of Continuing Ed
North Andover MA 01845
617/683-7111

Committee on Women
American Association for Counseling & Development
5999 Stevenson Avenue
Alexandria VA 22304
703/823-9800

OVER

Clara Lovett
Chair
Women's Caucus
American Association for Higher Education
One Dupont Circle
Suite 600
Washington DC 20036

Shirley Mahaley Malcolm
Office of Opportunities in Science
American Association for the Advancement of Science
1333 H Street NW
Washington DC 20005
202/326-6680

Yolanda S. George
Coordinator
National Network of Minority Women in Science
AAAS/Office of Opportunities in Science
1333 H Street NW
Washington DC 20005
202/326-6677

Marsha Lakes Matyas
Women's Project Director
Women's Project
American Association for the Advancement of Science
1333 H Street, N.W.
Washington DC 20005
202/326-6676

Lesley Francis
Associate Secretary
Committee on the Status of Women
American Association of University Professors
1012 14th Street, NW
Suite 500
Washington DC 20036
202/737-5900

Lecanne Willson
Chair
Committee on the Status of Women
American Astronomical Society
c/o Physics Dept.
Iowa State University
Ames IA 50011
515/294-6765

Peter Boyce
Director
American Astronomical Society
2000 Florida Avenue NW
Suite 300
Washington DC 20036
202/328-2010

Elaine Weiss
Director
Commission on Women in the Profession
American Bar Association
750 N. Lakeshore Drive
Chicago IL 60611
312/988-5676

Maureen G. Chan
Chair
Women Chemists Committee
American Chemical Society
1155 16th Street NW
Washington DC 20036

Catharine Hutchinson
American Comparative Literature Association
University of Michigan
411 Mason Hall
Ann Arbor MI 48109
313/763-9157

Stanley Katz
American Council of Learned Societies
228 East 45th Street
New York NY 10017
212/697-1505

Mary Richey Key
Chair, Centennial Planning
American Dialect Society
University of California at Irvine
Program in Linguistics
Irvine CA 92717
714/731-8556

Nancy Gordon
Chair
Committee on the Status of Women in Economics
American Economic Association
Congressional Budget Office
2nd & D Streets SW
Washington DC 20515
202/226-2669

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Sharon Kelly
Women's Committee and Special Interest Group
American Educational Research Association
1230 17th Street, NW
Washington DC 20036
202/223-9485

M. Jane Young
Co-Convenor
Women's Section
American Folklore Society
Department of American Studies
University of New Mexico
Albuquerque NM 87131
505/277-7410

Patricia Okaya
Office Manager
Women in Geoscience Committee
American Geological Institute
5205 Leesburg Pike
Falls Church VA 22041
703/379-2480

Judith Walkowitz
Chair
Committee on Women Historians
American Historical Association
Department of History
Rutgers University
New Brunswick NJ 08903

Noralee Frankel
Contact Person; Special Asst on Women
Committee on Women Historians
American Historical Association
400 A Street SE
Washington DC 20003
202/544-2422

Gail House
Executive Director
American Home Economics Association
2010 Massachusetts Avenue NW
Washington DC 20036
202/862-8300

Gina Allen
Chair
Women's Caucus
American Humanist Association
7 Harwood Drive
Amherst NY 14226
716/839-5080

Beverly Sanchez
Director
Women in Architecture Committee
American Institute of Architects
1735 New York Avenue NW
Washington DC 20006
202/626-7346

Rudy Petke
Director
American Institute of Chemists
7315 Wisconsin Avenue
Bethesda MD 20814
301/652-2447

Sarah Watstein
Committee on the Status of Women in Librarianship
American Library Association
Hunter College Library
695 Park Avenue
New York NY 10021

Lori Kenshaft
Executive Director
Association for Women in Mathematics
American Mathematical Society
Box 178
Wellesley College
Wellesley MA 02181
617/235-0320

Pamela Stephens
Chair
Board on Women and Minorities
American Meteorological Society
45 Beacon Street
Boston MA 02108
617/227-2425

Susan Cook
Committee on the Status of Women
American Musicological Society
Middlebury College
Middlebury VT 05753

Judith Ginsburg
History Department
Committee on the Status of Women
American Philological Association
Department of Classics
Cornell University
Ithaca NY 14850
312/383-0556

Alison Jaggar
Chair
Committee on Women
American Philosophical Association
Department of Philosophy
University of Cincinnati
Cincinnati OH 45221
513/475-6324

Miriam Forman
Chair
Committee on Status of Women in Physics
The American Physical Society
335 East 45th Street
New York NY 10017
212/682-7341

Helen J. Cook
Chairperson
Committee on Women in Physiology
American Physiological Association
Physiology Dept., Ohio State University
4196 Graves Hall
Columbus OH 43210-1239
614/292-5660

Martin Frank
Contact Person; Executive Director
Committee on Women in Physiology
American Physiological Society
9650 Rockville Pike
Bethesda MD 20814
301/530-7164

Michelle D. Jama-Bussard
American Planning Association
1313 E. 60th Street
Chicago IL 60637
312/955-9100

Jeanne-Marie Col
President
Section for Women & Politics Research
American Political Science Association
c/o Sangamon State University
PAC 378
Springfield IL 62708
217/786-6310

Sheila Mann
Contact Person; Director, Educational Act
Committee on the Status of Women in Political Science
American Political Science Association
1527 New Hampshire Avenue NW
Washington DC 20036
202/483-2512

Arlene Saxonhouse
Contact Person; President
Women's Caucus in Political Science
American Political Science Association
Department of Political Science
University of Michigan
Ann Arbor MI 48109
313/764-6389

Norma Noonan
Newsletter Editor
Committee on the Status of Women
American Political Science Association
10224 Rich Road
Bloomington MN 55437
612/330-1198

Miriam Rosenthal
Chairperson
Women's Caucus
American Psychiatric Association
2699 Scarborough Road
Cleveland Heights OH 44106
216/844-3331

Jeanne Spurlock
Deputy Medical Director
Women's Committee
American Psychiatric Association
1400 K Street NW
Washington DC 20006
202/682-6094

Ellen Kimmel
President
Division of the Psychology of Women
American Psychological Association
University of Southern Florida
FAO 268
Tampa FL 33602

OVER

Irma Serrano-Garcia
Chair
Committee on Women in Psychology
American Psychological Association
1200 17th Street NW
Women's Program Office
Washington DC 20036
202/955-7600

Kay Towns
Chair, Task Force
Division on Psychology of Women
American Psychological Association
Pennsylvania State University
Capital College
Middletown PA 17057

Catherine DeLorey
Women's Caucus
American Public Health Association
Lesley College
29 Everett Street
Cambridge MA 02238
617/868-9600

Women's Caucus
American Public Health Association
1015 15th Street NW
Washington DC 20005
202/789-5621

Judith Aggeler
Women in Cell Biology
American Society for Cell Biology
Human Anatomy
Univ of California School
Davis CA 95616

Anne Morris-Hooke
Committee on the Status of Women in Microbiology
American Society for Microbiology
Department of Microbiology
Miami University
Oxford OH 45056
513/529-2028

Janet Shoemaker
Assistant Director
Committee on the Status of Women in Microbiology
American Society for Microbiology
1913 I Street NW
Washington DC 20006
202/833-9680

Shirley Wester
Director
American Society for Public Administration
1120 G Street NW
Suite 500
Washington DC 20005
202/393-7878

Kathleen Roth
Chair
Section for Women in Public Administration
American Society for Public Administration
PO Box 3070
City of Garden Grove
Garden Grove CA 92642
714/638-6623

Carol Spencer
Director
Women's Network
American Society for Training and Development
614 Via Vista
Redlands CA 92373
714/351-5258

Curtis Plott
Executive Director
Women's Network
American Society for Training and Development
1630 Duke Street
Box 1443
Alexandria VA 22313
703/683-8100

Elizabeth Anderson
Co-Chair
Committee on Equal Opportunities for Women
American Society of Biological Chemists
National Institutes of Health
Bethesda MD 20814

Rachel Kahn-Hut
Sex and Gender Section
American Sociological Association
Dept. of Sociology
San Francisco State University
San Francisco CA

Mareyjoyce Green
Co-Chair
Comm on Status of Women in Sociology
American Sociological Association
116 Judson Drive
Cleveland OH 44128
216/687-4674

OVER

Carla Howery
Contact Person
Committee on the Status of Women in Society
American Sociological Association
1722 N Street NW
Washington DC 20036

Kathleen M. Griffin
Deputy Executive Director
Committee on the Equality of the Sexes
American Speech-Language-Hearing Association
10801 Rockville Pike
Rockville MD 20852
301/897-5700

Ann Parkhurst
Chair
Committee on Women in Statistics
American Statistical Association
103 Miller Hall
University of Nebraska
Lincoln NB 68583
402/472-2903

Lee Chambers-Schiller
Chair
Women's Committee
American Studies Association
History Department, Campus Box 234
University of Colorado
Boulder CO 80309
303/492-7029

Mary Gray
Chair, Committee W, AAUP
Department of Mathematics
American University
Washington DC 20016

American Women Composers
1690 36th St. NW
Suite 410
Washington DC 20007
202/342-8179

Joan Bowen
Archaeological Institute of America
675 Commonwealth Avenue
Boston MA 02215
617/353-9361

Carol Valentine
Org. for the Study of Communication, Language & Gender
Arizona State University
Communication Department
Tempe AZ 85287-1205
602/965-5095

Rita Gallin
Chair
Committee on Women in Asian Studies
Association For Asian Studies
Office of Women in Intl Development
Michigan State University
East Lansing MI 48824-1035
517/353-5040

Sylvia Jacobs
Association for Black Women Historians
PO Box 19753
Durham NC 27707
919/683-6267

Leslie Stevens
Comm on Status of Women
Association for Education in Journalism & Mass Communicati
Journalism School
University of Oregon
Eugene OR 97403

Contact Person
Committee on the Status of Women in Journalism Education
Association for Education in Journalism and Mass Communica
1621 College Street
University of South Carolina
Columbia SC 29208
803/777-2005

Rhonda Blair
President
Women's Caucus
Association for Theater in Higher Education
Hampshire College
893 West St.
Amherst MA 01002
413/586-0232

Patricia Pecora
Secretary
Association for Women Geoscientists
National Headquarters
Box 105
Menlo Park CA 94026

OVER

Patricia Timpanaro
Association for Women in Computing
3713 South George Mason Drive, #1012
Falls Church VA 22041

Kristen Timothy
President
Association for Women in Development
c/o SECID
1612 K Street NW
Washington DC 20006
202/833-3380

Lori Kenschaft
Contact Person; Executive Director
Association for Women in Mathematics
Box 178
Wellesley College
Wellesley MA 02181

Bhama Srinivasan
President
Association for Women in Mathematics
Box 4348, Mailcode 246
University of Illinois
Chicago IL 60680

Lenore Tiefer
Association for Women in Psychology
Dept of Urology Beth Israel Medical Centr
10 Nathan Perlman Place
New York NY 10003

Carolyn Herzenberg
President
Association for Women in Science
Argonne National Lab
EES-362
Argonne IL 60439
312/972-3026

Valerie Strauss
Contact Person; Executive Director
Association for Women in Science
2401 Virginia Avenue NW
Suite 303
Washington DC 20037
202/833-1998

David Lee
Contact Person
Committee on the Status of Women in Geography
Association of American Geographers
Department of Geography
Florida Atlantic University
Boca Raton FL 33431

Association of American Geographers
1710 16th Street, NW
Washington DC 20009

Elizabeth M. Schneider
Chair
Section on Women in Legal Education
Association of American Law Schools
Brooklyn Law School
250 Joralemon St.
Brooklyn NY 11201
718/625-2200

Betsy Levin
Executive Director
Association of American Law Schools
One Dupont Circle
Suite 370
Washington DC 20036
202/296-8851

Janet Bickel
Contact Person; Director for Women's Prog
Women in Medicine Program
Association of American Medical Colleges
One Dupont Circle
Suite 200
Washington DC 20036
202/828-0575

Joan Ariel
Women's Studies Librarian
Association of College and Academic Research Librarians
University of California, Irvine
University Library
PO Box 19557
Irvine CA 92713
714/856-4970

Association of Women Geoscientists
PO Box 1005
Menlo Park CA 94025
415/526-1006

OVER

Leah Dickstein
President
Association of Women Psychiatrists
University of Louisville
School of Medicine Health & Science Center
Louisville KY 40292
502/588-7569

Irene Tichenor
Bibliographical Society of America
PO Box 397
Grand Central Station
New York NY 10163
718/638-7957

Harlee Strauss
Chair
Committee on Professional Opportunities for Women
Biophysical Society
7219 Garland Avenue
Takoma Park MD 20912

Yolanda Moses
Dean
Academic Affairs
California State University--Dominguez Hills
Carson CA 90747
213/516-3307

Christina Gillis
Associate Director
Doreen B. Townsend Center for the Humanities
University of California, Berkeley
460 Stephens Hall
Berkeley CA 94720
415/643-9670

Marilyn Gottschall
Women's Council
State University of California
6710 El Jardin
Long Beach CA 90815
213/493-6172

Jessica Utts
Contact Person; President
Caucus for Women in Statistics
American Statistical Association
Division of Statistics
University of California
Davis CA 95616
916/752-6496

Karin Pendle
Contact Person; Chair
Committee on the Status of Women
College Music Society
College of Music
Cincinnati University
Cincinnati OH 45221

Betty Vetter
Contact Person; Executive Director
Commission on Professionals in Science & Technology
1500 Massachusetts Avenue NW #831
Washington DC 20005
202/223-6995

Virginia Carter Smith
Director of Research
Committee on the Career Advancement of Women & Minorities
Council for Advancement & Support of Education
11 Dupont Circle NW
Suite 400
Washington DC 20036
202/328-5900

Carole Hill
Committee on the Status of Women in Anthropology
Department of Anthropology
Georgia State University
Atlanta GA 30303

Marjorie Crandall
Committee on the Status of Women in Microbiology
23920 Los Codona
#115
Torrance CA 90505
213/375-1073

Miriam Forman
Contact Person
Committee on the Status of Women in Physics
American Physical Society
Manpower Placement Registry
335 E. 45th St.
New York NY 10017
212/682-7341

Claire Moses
Conference Group on Women's History
Committee on Women in the Historical Profession
Feminist Studies
University of Maryland
College Park MD 20742

Rima Apple
Chair
Committee on Women in the History of Science
History of Science Society
1305 Linden Drive
Madison WI 53706

Frances Richardson Keller
Coordinating Comm on Women in the Historical Profession
835 Junipero Serra Blvd.
San Francisco CA 94127
415/334-5772

Elaine Spaulding
Senior Staff Associate
Council on Social Work Education
1744 R Street, NW
Washington DC 20009
202/667-2300

Martha Olney
Women in Business and Economic History
Economic History Association
Department of Economics
University of Massachusetts
Amherst MA 01003
413/545-4883

Felicia Sturzer
Chair
Women's Caucus
Eighteenth Century Studies
Dept. of Foreign Languages & Literature
University of Tennessee, Chattanooga
Chattanooga TN 37403
615/755-4114

J. Hotchkiss
Secretary-Treasurer
Women's Caucus of the Endocrine Society
The Endocrine Society
9650 Rockville Pike
Rockville MD 20814

Elizabeth Okwenje
Co-ordinator
Federation of African Media Women
P.O. Box 50795
Nairobi

Helen Haller
Secretary
Graduate Women in Science
Sigma Delta Epsilon
32 Deerhaven Drive
Ithaca NY 14850
607/273-9416

Michael Sokal
Contact Person; Executive Director
Committee on Women
History of Science Society
35 Dean Street
Worcester MA 01609

Liz Keeney
Chair
Committee on Women
History of Science Society
Hist of Science Dept., Science Center 235
Harvard University
Cambridge MA 02138

Barbara Hampton
Chair
Women's Committee
International Folk Music Council
Hunter College/Dept. of Music
695 Park Avenue
New York NY 10021
212/772-5020

Constance Sutton
Chair
International Women's Anthropology Council
American Anthropological Association
Dept. of Anthropology
New York University
New York NY 10003
212/598-3257

Ardith Maney
Women's Caucus for Political Science
Dept. of Political Science
Iowa State University
Ames IA 50011
515/294-7256

Cho, Hwa Soon
President
Korean Association of Women Theologians
The Legal Aid Center for Family Relations
11-13 Yoido-Dong, Youngdeungpo-Ku, 5th Fl
Seoul 150

OVER

Margaret W. Reynolds
Associate Secretary Treasurer(contact)
Committee on the Status of Women in Linguistics
Linguistic Society of America
1235 18th Street NW
Suite 211
Washington DC 20036
202/835-1714

Dorothy Disterheft
Chair
Comm on Status of Women in Linguistics
Linguistic Society of America
University of South Carolina
406 Welsh Humanities Building
Columbia SC 29208
803/777-2063

Judith Tucker
Middle East Studies Association
Georgetown University
Department of History
Washington DC
202/687-5957

Julie Petec
President
Association of Middle East Women's Studies
Middle East Studies Association
5597 Seminary Road
Apartment 1506 South
Falls Church VA 22041

Milda Hedblom
Past President
Midwest Women's Caucus in Political Science
Augsberg College
Dept. of Politics and Media
731 21st Avenue South
Minneapolis MN 55455
612/330-1197

Ellen Messer-Davidow
Commission on the Status of Women
Modern Language Association
3430 Humboldt Avenue South
Minneapolis MN 55408

Judith Johnson
Vice President
Women's Caucus for the Modern Languages
Modern Language Association
10 Astor Place
New York NY 10003
212/741-5583

Phyllis Franklin
Executive Director
Modern Language Association
10 Astor Place
New York NY 10003
212/614-6301

Moira Ferguson
Contact Person; Co-Chair
Comm on Status of Women in the Profession
Modern Language Association
Dept of English
University of Nebraska
Lincoln NE 68588
402/472-3191

Musica Viva Australia
P.O. Box C334
Clarence Street
Sydney NSW 2000
AUSTRALIA

Brenda Verner
National Africana Women's Studies Association
Verner Communications Research
7319 S. Luella
Chicago IL 60649
312/375-2432

Ada Sosa-Riddell
President
Mujeres Actiovas en Letras y Cambio Social
National Association of Chicano Studies
University of California, Davis
Davis CA 95616

Barbara Gribbin
National Association of Commissions for Women
Commission on the Status of Women
52 Chambers Street
New York NY 10007
212/566-3830

Lois K. Alexander
Contact
National Office
National Association of Media Women
155-157 West 126th Street
New York NY 10027
212/666-1320

OVER

Nancy Golding
Chair
Women's Issues Committee
National Association of Social Workers
325 Riverside Drive
Apt. 43
New York NY 10025
212/221-0900

Lenora Taitt-Magubane
Director
National Association of Social Workers
79 Madison Avenue
New York NY 10016
212/947-5000

Sylvia Kramer
National Association of Women's Centers
370 Lexington Avenue
New York NY 10017
212/532-8330

Barbara Stein
Chairperson
National Coalition for Women & Girls in Education
NEA, Human and Civil Rights
1201 16th Street, NW
Washington DC 20036
202/822-7715

Dean M. Hansen
Chair
Committee on Sexism and Social Justice
National Council for the Social Studies
Ames Teacher Center
University of Wisconsin
River Falls WI 54022

Women's Committee
National Council of Teachers of English
1111 Kenyon Road
Urbana IL 61801
217/328-3870

Sammy Rubley Ruetenik
Chairman, NEAWC
Women's Caucus
National Education Association
1202 16th Street NW
Washington DC 20036
313/373-1800

Jennifer Tucker
National Institute for Women of Color
Suite 104, 1400 20th Street, NW
Washington DC 20036
202/296-2661

Joan Humphries
Executive Secretary
Women in Science and Engineering
National Science Foundation
1800 G Street NW
Room 517
Washington DC 20550
202/357-9819

Committee on Equal Opportunities in Science & Technology
National Science Foundation
1800 G Street NW
Room 537
Washington DC 20550
202/357-9859

Kay Kohl
Executive Director
Division of Programs for Women
National University Continuing Education Association
One Dupont Circle, NW
Suite 420
Washington DC 20036
202/659-3130

Lorainne Heidecker
National Women's Anthropology Caucus
Department of Anthropology
California State Unive
Sacramento CA 95819

Caryn McTighe Musil
National Director
National Women's Studies Association
University of Maryland
College Park MD 20742
301/454-3757

Mary Jo Wagner
Editor
National Women's Studies Association Journal
The Ohio State University
207 Dulles Hall
230 W. 17th Avenue
Columbus OH 43229
614/292-7014

OVER

New York Women Composers
114 Kelburne Avenue
N. Tarrytown NY 10591
914/631-4361

Margaret Graham
Contact Person
Office of Women In International Development
Michigan State University
202 International Center
East Lansing MI 408824
517/353-5040

Richard Candida Smith
Executive Secretary
Oral History Association
1093 Broxton Avenue #720
Los Angeles CA 90024
213/825-0597

Sally Kohlstedt
Chair
Committee on the Status of Women in History Pro
Organization of American Historians
Syracuse University
Syracuse NY 13210
607/257-3771

Marion Strobel
Chair
Committee on Status of Women in the Historical Profession
Organization of American Historians
Dept. of History
Furman University
Greenville SC 29613
803/294-3072

Nancy Wyatt
Speech Communication Association
Penn State
Delaware County Campus
25 Yearsley Mill Road
Media PA 19063
215/565-3300

Jean Smith
Executive Assistant
Women's Caucus
Population Association of America
P.O. Box 14182
Benjamin Franklin Stat
Washington DC 20044

Psychology of Women Section
British Psychological Society
St. Andres House
48, Princess Road East
Leicester LE1 7DR
(0533) 549568

Rosemary Radford Ruether
Co-Chair
Women's Caucus
Religious Studies
Garrett-Evangelical Theological Semi
2121 Sheridan Road
Evanston IL 60201

Ellen Cohen
Women's Caucus
Society for General Internal Medicine
95 Christopher Road #2D
New York NY 10014

Elinore Lurie
Executive Director
Society for the Study of Social Problems
University of California, San Francisco
Dept. of Social & Behavioral Sciences
Room N-531
San Francisco CA 94143-0646
415/476-8022

Nancy S. Erickson
Society for the Study of Women and Legal History
Ohio State University/College of Law
1659 North High Street
Columbus OH 43210

Elizabeth Minnich
Society for the Study of Women Philosophers
American Philosophy Association
400 East Tremont Avenue
Charlotte NC 28203

Jean Rumsey
President
Society for Women in Philosophy
2173 Ellis Road
Custer WI 54423

Ann Morgan Campbell
Executive Director
Women's Caucus
Society of American Archivists
600 South Federal Street, #504
Chicago IL 60605
312/922-0140

OVER

Society of Women Engineers
345 East 47th Street
Room 305
New York NY 10017
212/705-7855

Elizabeth Olds
Society of Women Geographers
1619 New Hampshire Avenue, NW
Washington DC 20009

Beth Hess
President
Sociologists for Women in Society
Morris County College
Randolph NJ 07869
201/361-5000

Emily Abel
Los Angeles Chapter
Sociologists for Women in Society
Center for Research on Women
University of California, Los Angeles
Los Angeles CA 90024

Marie Truelove
Chair
Specialty Group on Geographic Perspectives on Women
Association of American Geographers
Ryerson Polytechnical Institute
Geography Dept, 350 Victoria Street
Toronto, Ontario M5B2K3
416/979-5000

Jane Kennedy Dale
President
Women's Caucus
Speech Communication Association
5105 Backlick Road
Suite E
Annadale VA 22003
703/750-0533

Marysa Navarro
Chair
Task Force on Women in Latin American Studies
Latin American Studies Association
Faculty for the Social Sciences
Dartmouth College
Hanover NH 03755

Kate Cloud
Director
Women in International Development
University of Illinois
324 Coble Hall
801 South Wright
Champaign IL 61820
217/333-1977

Janet Spector
Asst. to Affirmative Action Officer
Equal Opportunity & Affirmative Action Office
University of Minnesota
100 Church Street SE
419 Morrill Hall
St. Paul MN 55455
612/624-9547

Francesca Miller
Contact Person
Western Association of Women Historians
968 Fordham Place
Davis CA 95616

Mary Ann Pitman
Co-Chair
Women in Schools and Society
Council on Anthropology & Education
School of Education
Youngstown State University
Youngstown OH 44555

Sylvia Kramer
Executive Director
Women's Action Alliance
370 Lexington Avenue
New York NY 10017
212/532-8330

Christine Havice
Contact Person; President
Women's Caucus for Art
548 West Third Street
Lexington KY 40508
606/255-2680

Mary R. Hopkins
National Administrator
National Office
Women's Caucus for Art
Moore College of Art
20th & the Parkway
Philadelphia PA 19103
215/854-9200

OVER

Jacqueline Van Baelen
Chair
Women's Caucus for Modern Languages
Romance Languages Dept, SUNY Bingham
Vestal Parkway East
Binghamton NY 13901

Marianne Githens
President
Women's Caucus for Political Science
Political Science Department
Goucher College
Towson MD 21204

Valerie French
Women's Classical Caucus
American University
Washington DC 20016

Carol Burr
Contact Person; Co-Chair, WCSU
Women's Council of the State University
California State University
Department of English
California State University, Chico
Chico CA 95929

Amelia Augustus
Contact Person; President
Women's Economic Round Table
866 UN Plaza
Suite 4040
New York NY 10017
212/759-4360

A P P E N D I X E
GUIDELINES FOR ACADEMIC SEARCHES
SUMMARY OF APPROVAL STEPS

OVER

GUIDELINES FOR ACADEMIC SEARCHES, EFFECTIVE JANUARY 1991

| <u>NATIONAL SEARCHES</u> | | <u>REVIEWED BY</u> | | | | |
|---|---|--------------------|------------|------------|------------|------------|
| <u>STEPS</u> | <u>RESPONSIBILITY OF</u> | <u>(A)</u> | <u>(B)</u> | <u>(C)</u> | <u>(D)</u> | <u>(E)</u> |
| 1 Position Description/ Selection Criteria | Appointing Authority(A) | | X | | | |
| 2 Appoint Search Committee | Appointing Authority(A) | | X | | | |
| 3 Form 16/Hiring Plan | Appointing Authority(A) | | X | X | | X |
| 4 Place Ads | Appointing Authority/ Search Committee | X | | | | |
| 5 Recruit Candidates/ Nominees | Search Committee | X | | | | |
| 6 After Deadline | Search Committee | X | X | X | X | |
| 7 Conduct Interviews | Search Committee | X | | | | |
| 8 Select Candidate | Appointing Authority | X | X | X | X | X |
| <u>LIMITED SEARCHES</u> | | | | | | |
| 1 same | same | | X | | | |
| 2 same | same | | X | | | |
| 3 same | (A) or search committee | | X | X | | X |
| 4 same | (A) or search committee | X | | | | |
| 5 same | search committee | X | | | | |
| 6 same | search committee | X | | | | |
| 7 same | search committee | X | | | | |
| 8 same | (A) | X | X | X | | X |

Legend:

- (A) Appointing Authority/Administrator
- (B) Collegiate/Campus EEO Officer
- (C) Dean/Director
- (D) University EEO Officer
- (E) Academic Affairs